

Request for Applications



RFA # A341

North Carolina Rape Prevention and Education Program Primary Prevention Community Grants

FUNDING AGENCY: North Carolina Department of Health and Human Services
Division of Public Health
Chronic Disease and Injury Section
Injury and Violence Prevention Branch

ISSUE DATE: September 18, 2017

DEADLINE DATE: October 19, 2017

INQUIRIES and DELIVERY INFORMATION:

Direct all inquiries concerning this RFA to:

Glorina Y. Stallworth 919-707-5426

Glorina.Stallworth@dhhs.nc.gov

Applications will be received until 5:00 pm on Thursday, October 19, 2017.

Send all electronic applications directly to the funding agency address as indicated below:

Email Address: Glorina.Stallworth@dhhs.nc.gov.

Only electronic applications will be accepted via email attachment (.doc, .docx, .xls, .xlsx, .pdf formats), including all required attachments.

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I. INTRODUCTION

The mission of the North Carolina Injury and Violence Prevention Branch (IVPB) is to define and address the major statewide issues of injury and violence prevention. The desired impact of the IVPB is to reduce morbidity and mortality caused by injury and violence, and the ultimate vision of the Branch is a North Carolina free from injuries and violence where people can live to their full potential.

The IVPB receives and administers federal funds for the Rape Prevention and Education (RPE) Program. Funds are awarded to local agencies and organizations to provide sexual violence primary prevention education and training in local communities. Funds are also awarded to the North Carolina Coalition Against Sexual Assault (NCCASA) to provide training, technical assistance, and tools to support local agencies/organizations in their prevention activities.

Sexual Violence is one form of violence that takes a large toll on health and well-being. According to CDC's National Intimate Partner and Sexual Violence Survey (NISVS), in the United States, 1 in 5 women and 1 in 33 men experience rape or attempted rape at least once in their lifetimes, while many more experience some other form of sexual violence such as harassment, peeping, threats, and other behaviors. The overarching purpose of this program is to prevent sexual violence perpetration and victimization by implementing primary prevention strategies. According to the N.C. Council for Women and Domestic Violence Commission, the 74 rape crisis centers across North Carolina received 24,356 crisis calls and served 13,655 victims/survivors of sexual assault in 2015. The prevalence of sexual violence and the consequences to victims/survivors, their families and friends, and to society make sexual violence a serious public health problem in North Carolina.

The Rape Prevention and Education Program funds are awarded through the Centers for Disease Control and Prevention (CDC) to all 50 states, Washington DC, Puerto Rico, and six territories according to a population based formula. At the Federal level, the CDC project is delineated in five-year time periods, and this RFA is seeking applications for the three years of the five-year project period starting February 1, 2018. Federal legislation specifies the major areas of activities for preventing rape and sexual assault allowed under this grant and the CDC has set program priorities and provided guidance to all states and territories for implementing the program. CDC expects all RPE Programs at both the state and local levels to use a public health approach; to undertake planning, including a comprehensive assessment of community needs and assets; to participate in program evaluation; and to focus on primary prevention – preventing initial sexual violence perpetration and victimization.

The goal of the Rape Prevention and Education (RPE) program in North Carolina is to reduce the incidence of rape and sexual violence in the State. The means to achieve this goal include providing a broad array of primary prevention strategies that address multiple avenues of influence on behavior. The NC RPE Program seeks to prioritize marginalized communities, such as lesbian, gay, bisexual, transgendered, and questioning (LGBTQ+) communities, communities of color, homeless populations, and migrant workers. Given North Carolina's disproportionately large military community, the NC RPE Program is also interested in strategies for working with this important population.

This RFA is being released to recruit qualified agencies and organizations to carry out formative assessment and planning activities, implementation of comprehensive primary prevention programs, and evaluation as part of the NC Rape Prevention and Education Program. The RFA is open to organizations and agencies that can provide this service. The purpose of this funding is for agencies to implement comprehensive primary prevention programming in their communities. This grant may be awarded to local rape crisis centers, public or local governmental agencies, and non-profit organizations with a current 501(c) (3) status to complete activities outlined in Section III: Scope of Services. **North Carolina colleges and universities are ineligible to apply for this cycle of Rape Prevention and Education funding;** however, the NC RPE Program is committed to the continued support of North Carolina's colleges and universities through training and technical assistance provided by the North Carolina Coalition Against Sexual Assault (NCCASA) and the NC Campus Consortium.

Federal Grant Information

Name: Injury Prevention and Control Research and State and Community Based Programs
CFDA: 93.136
Award #: To be Awarded
Type: Cooperative Agreement
Department: Centers for Disease Control and Prevention

Eligibility and Program requirements:

Funding is open to private, non-profit organizations, public or local governmental agencies (excluding North Carolina colleges and universities) that can clearly demonstrate a commitment to the primary prevention of sexual violence.

1. The applicant must meet all the requirements described in the Request for Application.
2. As described in the specific application forms, the applicant must demonstrate a commitment to the prevention of violence and the development of healthy communities by submitting examples of on-going or completed activities focused on violence prevention, examples demonstrating an understanding of sexual violence and its causes, and examples of ways the agency/organization functions as a leader in the field of violence prevention and community development in the area it serves.
3. In addition, applicants need to demonstrate a clear ability to respond to sexual violence disclosures or requests for help that might be made by participants during prevention activities. RPE funding does not, and will not provide any support (direct or in-kind) to services or crisis response; however, it is vital that awardees have crisis response mechanisms in place. This will allow participants in need of services to receive assistance that is sensitive and appropriate. This may be accomplished either in-house (by a different staff person with non-RPE funding) or through a demonstrated relationship with the local rape crisis center in that community (demonstrated via a memorandum of understanding with the rape crisis center).
4. The applicant must participate in the development of a sexual violence advisory council or participate in a pre-existing task force or advisory council that works to prevent sexual violence.
5. The applicant must demonstrate a history of working with community partners and must

indicate a willingness to continue to do so throughout this project period. Given the complexity of sexual violence, its causes, and the needed comprehensive strategies to effectively prevent it, no single agency/office/individual will be able to fully implement all aspects of RPE in isolation. Applicants are expected to build relationships with both traditional and non-traditional partners on all aspects of their RPE efforts.

6. The applicant must demonstrate a willingness to engage in the necessary training and preparation to complete project deliverables. This includes engaging the public health approach, incorporating the Principles of Effective Prevention, utilizing the socioecological model, and creating recommendations for future primary prevention programming based on identified needs.
7. The applicant must work with the technical assistance provider NCCASA and IVPB to develop and implement evaluation quality improvement strategies.
8. The applicant must participate in process and outcome evaluation for all program planning and implementation activities.

The proposed program plan shall reflect current research on the primary prevention of sexual violence; the ecological approach; systems change initiatives; and evidence-informed messaging to influence social norms. While funds from this award may not be used to supplant other funds, strategies developed to accomplish stated activities *may* build from other current programming and/or activities. The selected contractors shall participate in at least one Annual Required Leadership Training by the North Carolina Rape Prevention and Education Program each year of the contract.

Contract Period:

The project period is February 1, 2018 through January 31, 2019. The contract for Rape Prevention and Education is subject to annual renewal based upon criteria established by the Division of Public Health (DPH) including performance and contractual compliance, and contingent upon the availability of funds for this purpose.

Total available for each award will be as following for the budget periods.

- February 1, 2018 - January 31, 2019 (Each grant award not to exceed \$65,000)
- February 1, 2019 - January 31, 2020 (Each grant award not to exceed \$65,000)
- February 1, 2020 - January 31, 2021 (Each grant award not to exceed \$65,000)

The actual funding amount will be determined by the Division of Public Health based on the proposed execution of the project and the utilization of funds as outlined in the applications submitted. Not more than 10 applications will be awarded funding. The awards will be made annually for up to three years, pending availability of funds. **Funds are distributed on a reimbursement after expenditure basis. No advance/startup funds are provided to programs.**

Prior to issuing Letters of Award, DPH will conduct a risk assessment on all applicants with top 10 scores. Risk categories are low, moderate and high using the NC DHHS Risk Assessment Form. Applicants who are assessed in the 'Moderate' or 'High' risk categories will not be funded.

Funding Priorities:

The North Carolina RPE Program is looking to fund projects that fit within the following funding priorities:

1. Programs that have conducted a comprehensive community assessment or similar community readiness process within the last three years.
2. Programs that use one of the evidence based strategies or evidence informed strategies to support their chosen strategy. Recognizing that there is not a robust evidence base in the field, programs are not restricted from selecting interventions with little evidence, but a strong argument for using that intervention, including connecting the intervention to the priority risk and protective factors identified by that community should be made. A list of CDC Effective and Promising Programs can be found at <https://www.cdc.gov/violenceprevention/sexualviolence/prevention.html>. Programs can adapt interventions from other fields, but adaptation should be done appropriately and technical assistance will be provided for programs interested in adaptation.
3. Changes in risk and protective factors beyond the individual level of the socioecological model will be prioritized.
4. The NC RPE Program that seeks to prioritize marginalized communities, such as LGBTQ+ communities, communities of color, homeless populations, and migrant workers.
5. Programs should plan to place a significant focus on developing the sustainability of their prevention programming. Should RPE funding cease to exist, programs applying for RPE funding should detail their ability and potential efforts to sustain their prevention efforts. In addition, the application should include not just the development of the capacity of the Prevention Coordinator, but also the development of prevention capacity within the organization, including the Board of Directors. Development of capacity in the service community through Sexual Violence Prevention Advisory Council should also be addressed.

II. BACKGROUND

North Carolina recognizes sexual violence as a serious public health problem. The Division of Public Health's Injury and Violence Prevention Branch (IVPB) is a leader in statewide efforts to prevent sexual violence with a long history of addressing all forms of violence against women. The IVPB manages a core RPE Program that has been administering funds for many years to provide prevention and education activities in communities across the State.

Public Health Approach, The Ecological Model, and The Primary Prevention of Sexual Violence:

The term "sexual violence" is defined by the Centers for Disease Control and Prevention (CDC) as, "a sexual act committed against someone without that person's freely given consent". The CDC and the IVPB promote the use of a public health approach in the efforts of eliminating sexual violence. This approach is population-based (rather than focusing on an individual); uses data-informed, evidence-based practices to the greatest extent possible; conducts evaluation to ensure effective programming; emphasizes collaborative activities; strives for cultural competency; and focuses on prevention, especially primary prevention.

The RPE Program emphasizes primary prevention by using approaches that take place before sexual violence occurs to prevent initial perpetration or victimization. This contrasts to secondary prevention (e.g., crisis responses after sexual violence occurs to deal with short-term consequences) and tertiary prevention (e.g., long-term responses after sexual violence occurs to deal with lasting consequences).

The RPE Program utilizes a four-level ecological model to better understand behavioral influences and recognize and develop potential points of prevention. The ecological model is a way to describe violent behavior in the context of four levels of influence. These levels include individuals, interpersonal relationships, the community, and society. For more information about the four-level ecological model, please visit:

<https://www.cdc.gov/violenceprevention/overview/social-ecologicalmodel.html>.

The public health approach specifies that programs should use evidence-based strategies whenever possible. In the field of violence prevention, particularly sexual violence prevention, a robust evidence base does not exist. As a result, it is imperative that applicants have a working knowledge of evidence-based primary prevention strategies that are relevant to their programming. It is also important that applicants understand the basic general foundations of effective prevention. For more information on the principles of effective prevention programs, as well as strategies from other prevention fields that may be applicable in prevention of sexual violence, see **Attachment 2: Principles of Effective Prevention Programs**, and review the journal article "A systematic review of Primary Prevention Strategies for Sexual Violence Perpetration," available online at: <http://www.sciencedirect.com/science/article/pii/S1359178914000536>.

The RPE Program requires applicants to identify priority risk and protective factors and then design interventions to address those risk and protective factors. The North Carolina RPE Program prioritizes strengths-based prevention approaches that seek to increase protective

factors reduce risk factors. For more information, please visit:
<https://www.cdc.gov/violenceprevention/sexualviolence/riskprotectivefactors.html>)

III. SCOPE OF SERVICES:

This RFA is being released to recruit qualified agencies and organizations to carry out formative assessment and planning activities, implementation of comprehensive primary prevention programs, and evaluation as part of the NC Rape Prevention and Education Program.

Deliverables to be completed by the End of Year 1 (by January 31, 2019):

1. Develop and submit a logic model for the program that includes all sexual violence primary prevention strategies. (A logic model is a pictorial diagram that shows the relationship between program components and activities to desired outcomes) (See Logic Model Example: **Attachment 5**)
2. Develop and sustain partnerships with community stakeholders and discuss how these partnerships will enhance the role of various community stakeholders in the prevention of sexual violence. This includes, but is not limited to, participating in or convening a Sexual Violence Prevention Advisory Council. The Advisory Council should be comprised of the appropriate community organizations and individuals to assist with planning, implementation and evaluation of the primary prevention programming. For example, an Advisory Council may include child development specialists, teachers, school administrators, health educators, community development advocates and other prevention experts. It is appropriate for the Prevention Coordinator to participate on a preexisting advisory council or task force that works on multiple community issues. Primary prevention must be included in the work conducted by the Advisory Council.
3. The funded agency/organization must agree to use the public health approach and the ecological model (See **Attachment 1: Sexual Violence Prevention: Beginning the Dialogue**) in creating recommendations for future directions. Strategies included in the program must address no fewer than three levels of the ecological model and must be maintained throughout the duration of the project.
4. Implement a comprehensive primary prevention program that uses all available evidence and adheres to the Principles of Effective Prevention Programs (See **Attachment 2**).
5. Utilize tools and apply training and technical assistance provided by IVPB and NCCASA to improve program practice.
6. Implement process and outcome evaluation of sexual violence primary prevention activities.
7. Participate in cross-site evaluation with IVPB.
8. Attend mandatory “Essentials of Sexual Violence Primary Prevention Training”, Annual Required Leadership Training and a two-day Foundational Anti-Oppression Training for RPE grantees. Locations and dates TBD in Central North Carolina. Prevention Coordinator and his/her immediate supervisor are **both required** to attend these trainings.
9. Participate in 18 hours of professional development activities. All training must be approved by the North Carolina Coalition Against Sexual Assault (NCCASA) technical assistance provider.

The quality of service delivery is defined as evidence-informed; comprehensive, coordinated, and collaborative across systems. Services must be culturally and linguistically sensitive; strengths based; and demonstrate statewide reach.

IV. GENERAL INFORMATION ON SUBMITTING APPLICATIONS

1. Award or Rejection

All qualified applications will be evaluated and award made to that agency or organization whose combination of budget and service capabilities are deemed to be in the best interest of the funding agency. The funding agency reserves the unqualified right to reject any or all offers if determined to be in its best interest. Successful applicants will be notified by November 28, 2017.

2. Decline to Offer

Any agency or organization that receives a copy of the RFA but declines to make an offer is requested to send a written "Decline to Offer" to the funding agency. Failure to respond as requested may subject the agency or organization to removal from consideration of future RFAs.

3. Cost of Application Preparation

Any cost incurred by an agency or organization in preparing or submitting an application is the agencies or organizations sole responsibility; the funding agency will not reimburse any agency or organization for any pre-award costs incurred.

4. Elaborate Applications

Elaborate applications in the form of brochures or other presentations beyond that necessary to present a complete and effective application are not desired.

5. Oral Explanations

The funding agency will not be bound by oral explanations or instructions given at any time during the competitive process or after awarding the grant.

6. Reference to Other Data

Only information that is received in response to this RFA will be evaluated; reference to information previously submitted will not suffice.

7. Titles

Titles and headings in this RFA and any subsequent RFA are for convenience only and shall have no binding force or effect.

8. Form of Application

Each application must be submitted on the form provided by the funding agency, and will be incorporated into the funding agency's Performance Agreement (contract).

9. Exceptions

All applications are subject to the terms and conditions outlined herein. All responses will be controlled by such terms and conditions. The attachment of other terms and conditions by any agency or organization may be grounds for rejection of that agency or organization's application. Funded agencies and organizations specifically agree to the conditions set forth in the Performance Agreement (contract).

10. Advertising

In submitting its application, agencies and organizations agree not to use the results therefrom or as part of any news release or commercial advertising without prior written approval of the funding agency.

11. Right to Submitted Material

All responses, inquiries, or correspondence relating to or in reference to the RFA, and all other reports, charts, displays, schedules, exhibits, and other documentation submitted by the agency or organization will become the property of the funding agency when received.

12. Competitive Offer

Pursuant to the provision of G.S. 143-54, and under penalty of perjury, the signer of any application submitted in response to this RFA thereby certifies that this application has not been arrived at collusively or otherwise in violation of either Federal or North Carolina antitrust laws.

13. Agency and Organization's Representative

Each agency or organization shall submit with its application the name, address, and telephone number of the person(s) with authority to bind the agency or organization and answer questions or provide clarification concerning the application.

14. Subcontracting

Agencies and organizations may propose to subcontract portions of work provided that their applications clearly indicate the scope of the work to be subcontracted, and to whom. All information required about the prime grantee is also required for each proposed subcontractor.

15. Proprietary Information

Trade secrets or similar proprietary data which the agency or organization does not wish disclosed to other than personnel involved in the evaluation will be kept confidential to the extent permitted by NCAC TO1: 05B.1501 and G.S. 132-1.3 if identified as follows: Each page shall be identified in boldface at the top and bottom as "CONFIDENTIAL." Any section of the application that is to remain confidential shall also be so marked in boldface on the title page of that section.

16. Participation Encouraged

Pursuant to Article 3 and 3C, Chapter 143 of the North Carolina General Statutes and Executive Order No. 77, the funding agency invites and encourages participation in this RFA by businesses owned by minorities, women and the disabled, including utilization as subcontractor(s) to perform functions under this Request for Applications.

17. Contract

The Division will issue a contract to the recipient of the RFA funding. Expenditures can begin immediately upon receipt of a completely signed contract.

V. APPLICATION PROCUREMENT PROCESS AND APPLICATION REVIEW

The following is a general description of the process by which applicants will be selected for funding for this project.

1. Announcement of the Request for Applications (RFA)

The announcement of the RFA and instructions for receiving the RFA will be posted at the following DHHS website on September 18, 2017:

<http://www.ncdhhs.gov/about/grant-opportunities/public-health-grant-opportunities> and may be sent to prospective agencies and organizations via direct mail, email, and/or the Program's website.

2. Distribution of the RFA

RFAs will be posted on the Program's website

<http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm> and may be sent via email to interested agencies and organizations beginning September 18, 2017.

3. Bidder's Webinar / Question & Answer Period

All prospective applicants are encouraged to attend a Bidder's Webinar on September 28, 2017 from 10 am to 11:30 am at:

<https://cc.readytalk.com/r/btf7olf6msfd&eom>

Questions concerning the specifications in this Request for Applications may be submitted by email to Glorina.Stallworth@dhhs.nc.gov and must be received by 5 pm on September 27, 2017. As an addendum to this RFA, a summary of all questions and answers will be placed on the following website at:

<http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm> on October 4, 2017.

4. Notice of Intent

Any agency that plans to submit an application must submit a Notice of Intent no later than 5 pm on October 6, 2017 to Glorina Stallworth, Rape Prevention and Education (RPE) Program Manager, via email at Glorina.Stallworth@dhhs.nc.gov. Please include the following information in the Notice of Intent:

- The legal name of the agency.
- The name, title, phone number, mailing address, and email address of the person who will coordinate the application submission.

Agencies that do not submit a Notice of Intent by 5 pm on October 6, 2017 will be **ineligible** to apply to this RFA.

The Notice of Intent is non-binding.

5. Applications

Applicants shall email an electronic copy of the signed application and all attachments to Glorina.Stallworth@dhhs.nc.gov by 5 pm on Thursday, October 19, 2017, in MS Word, Excel or PDF format. The electronic application must contain signed documents. Faxed applications will not be accepted.

6. Format

The application must be typed, single-side on 8.5" x 11" paper with margins of 1". Line spacing should be single-spaced. The font should be easy to read and no smaller than a 12-point font.

7. Space Allowance

Page limits are clearly marked in each section of the applications.

8. Application Deadline

All applications must be received by the date and time on the cover sheet of this RFA. Faxed applications **will not** be accepted. Signed applications are required.

9. Receipt of Applications

Applications from each responding agency and organization will be documented into the system.

10. Review of Applications

Applications are reviewed by a multi-disciplinary committee of public and private health and human services providers who are familiar with the subject matter. Staff from applicant agencies may not participate as reviewers.

Applications will be evaluated by a committee according to completeness, content, experience with similar projects, ability of the agency's or organization's staff, cost, etc. The award of a grant to one agency and organization does not mean that the other applications lacked merit, but that, all facts considered, the selected application was deemed to provide the best service to the State. Agencies and organizations are cautioned that this is a request for applications, and the funding agency reserves the unqualified right to reject any and all applications when such rejections are deemed to be in the best interest of the funding agency.

11. Request for Additional Information

At their option, the application reviewers may request additional information from any or all applicants for the purpose of clarification or to amplify the materials presented in any part of the application. However, agencies and organizations are cautioned that the reviewers are not required to request clarification. Therefore, all applications should be complete and reflect the most favorable terms available from the agency or organization.

12. Audit

Please be advised that successful applicants may be required to have an audit in accordance with G.S. 143C-6-22 and G.S. 143C-6-23 as applicable to the agency's status.

G.S. 143C-6-23 requires every nongovernmental entity that receives State or Federal pass-through grant funds directly from a State agency to file annual reports on how those grant funds were used online at www.NCGrants.gov.

There are 3 reporting levels which are determined by the total direct grant receipts from all State agencies in the entity's fiscal year:

Level 1: Less than \$25,000

Level 2: At least \$25,000 but less than \$500,000

Level 3: \$500,000 or more

Level 3 grantees are required to submit a "Yellow Book" Audit done by a CPA. Only Level 3 grantees may include audit expenses in the budget. Audit expenses should be prorated based on the ratio of the grant to the total pass-through funds received by the entity.

13. Assurances

The contract may include assurances that the successful applicant would be required to execute prior to receiving a contract as well as when signing the contract.

14. Additional Documentation to Include with Application

All applicants are required to include documentation of their tax identification number.

Those applicants which are private non-profit agencies are to include a copy of an IRS determination letter regarding the agency's 501(c)(3) tax-exempt status. (This letter normally includes the agency's tax identification number, so it would also satisfy that documentation requirement.)

In addition, those private non-profit agencies are to provide a completed, signed, and notarized page verifying continued existence of the agency's 501(c)(3) status. (An example of this page is provided in section VIII.5 *Verification of 501(c)(3) Status*.)

15. Federal Certifications

Agencies or organizations receiving Federal funds will be required to execute Federal Certifications regarding Non-discrimination, Drug-Free Workplace, Environmental Tobacco Smoke, Debarment, Lobbying, and Lobbying Activities. A copy of the Federal Certifications is included in this RFA for your reference (see Appendix A). Federal Certifications should NOT be signed or returned with application.

16. System for Award Management Database (SAM)

All grantees receiving federal funds must be actively registered in the federal government's System for Award Management (SAM) database, (formerly known as Central Contractor Registration (CCR)), or be willing to complete the registration process in conjunction with the award (see www.sam.gov). To maintain an active SAM record, the record must be updated no less than annually.

17. Additional Documentation Prior to Contract Execution

Contracts require more documentation prior to contract execution. After the award announcement, agencies will be contacted about providing the following documentation:

- a. A completed and signed letter from the agency's Board President/Chairperson identifying individuals as authorized to sign contracts. (A reference version appears in Appendix A.)
- b. A completed and signed letter from the agency's Board President/Chairperson identifying individuals as authorized to sign expenditure reports. (A reference version appears in Appendix A.)
- c. Documentation of the agency's DUNS number. Documentation consists of a copy of communication (such as a letter or email correspondence) from Dun & Bradstreet (D&B) which indicates the agency or organization's legal name, address, and DUNS number. In lieu of a document from D&B, a copy of the agency or organization's SAM record is acceptable.

If your agency does not have a DUNS number, please use the D&B online registration (<http://fedgov.dnb.com/webform>) to receive one free of charge. (DUNS is the acronym for the Data Universal Numbering System developed and regulated by D&B.)

Contracts with private non-profit agencies require additional documentation prior to contract execution. After the award announcement, private non-profit agencies will be contacted about providing the following documentation:

- a. A completed, signed, and notarized statement which includes the agency's Conflict of Interest Policy. (A reference version appears in Appendix A.)
- b. A completed, signed, and notarized page certifying that the agency has no overdue tax debts. (A reference version appears in Appendix A)

All grantees receiving funds through the State of North Carolina are required to execute Contractor Certifications Required by North Carolina Law. A copy of the certifications is included in this RFA for your reference (see Appendix A). Contractor Certifications should NOT be signed or returned with application.

Note: At the start of each calendar year, all agencies with current DPH contracts are required to update their contract documentation. These agencies will be contacted a few weeks prior to the due date and will be provided the necessary forms and instructions.

18. Registration with Secretary of State

Private non-profit applicants must also be registered with the North Carolina Secretary of State to do business in North Carolina, or be willing to complete the registration process in conjunction with the execution of the contract documents. (See <https://www.sosnc.gov/corporations/>.)

**19. Federal Funding Accountability and Transparency Act (FFATA)
Data Reporting Requirement**

The Contractor shall complete and submit to the Division, the Federal Funding Accountability and Transparency Act (FFATA) Data Reporting Requirement form within 10 State Business Days upon request by the Division when awarded \$25,000 or more in federal funds. A reference version appears in Appendix A.

20. Application Process Summary Dates

09/18/2017	Request for Applications released to eligible applicants
09/27/2017	End of Q&A period. All questions due in writing by 5 pm
09/28/2017	Bidder's Webinar
10/04/2017	Answers to Questions released to all applicants as addendum to RFA
10/06/2017	Notice of Intent (non-binding) due by 5 pm
10/19/2017	Applications due by 5 pm
11/28/2017	Successful applicants will be notified
02/01/2018	Proposed Contract Start Date

VI. PROJECT BUDGET

All applicants should prepare a budget for the funding period of February 1, 2018 through January 31, 2019 that does not exceed \$65,000. Requested budget amounts should be realistic, and applicants should be prepared to use ALL the funds awarded within the three-year funding cycle. Budgets for years 2 and 3 will be requested pending availability of funds.

Awardees receiving Rape Prevention and Education funds are required to maintain a full-time Prevention Coordinator dedicated at 100% effort (1 FTE) to the RPE program (see **Attachment 4: Sample Job Description for the RPE Prevention Coordinator**). The RPE Program believes that outcomes are of higher quality when one staff member holds the Prevention Coordinator position. Programs may make an argument for dividing the work among two staff people, but supporting arguments should be detailed and strong, and address how using a split staff model will increase the quality of programming. Salaries for the RPE Prevention Coordinator should be commensurate to the required competencies of the position. This component will be part of the scoring process to ensure that prevention coordinators are compensated comparable to others with similar qualifications and to increase possible retention of the position. Applicants also **may** choose to support the salary of the Prevention Coordinator's supervisor up to 10% effort (0.1 FTE).

The Prevention Coordinator is expected to carry out a coordination role. Programs should be able to demonstrate the active and effective use of partners, volunteers and other stakeholders in carrying out the goals and activities of the RPE Program.

Eligible Expenses:

RPE funds may be used for the following allowable expenses:

1. Salary to support one full-time Prevention Coordinator dedicated 100% to RPE
2. Fringe Benefits for the full-time Prevention Coordinator
3. Salary for the Prevention Coordinator's supervisor, not to exceed 10% of overall salary
4. Fringe Benefits for the Prevention Coordinator's supervisor, not to exceed 10% of overall fringe benefits
5. Travel, which will include the costs of travel for the Prevention Coordinator during each year for the following:
 - a. Any travel associated with the Prevention Coordinator's professional development activities
 - b. For an Annual Grantee Leadership Training to consult with state project staff and/or meet with other awardees. (Both the Prevention Coordinator **and** his/her supervisor are required to attend the Annual Grantee Meetings.)
 - c. Other travel deemed necessary by the applicant relevant to the grant.
6. Travel expenses may include mileage, lodging, and subsistence up to the official rate set forth by the State of North Carolina (see the Budget section of the application for current rates). Applicants may choose to reimburse staff at a lower rate, but may not exceed established State rates.
7. Supplies: supply costs associated with prevention programs and activities
8. Postage: postage costs associated with prevention programs and activities

9. Equipment: necessary equipment associated with prevention programs and activities (note that requests over \$500 require State pre-approval)
10. Incentives: RPE funds may be used to purchase program participation incentives. Gift cards must be logged and appropriate documentation must be maintained by the awarded agency.
11. Other: all other pre-approved operational costs associated with conducting proposed prevention programs and activities
12. Indirect cost: If the applicant elects to include indirect cost in their budget, indirect cost may not exceed 5% of the modified total direct cost. No documentation is required. See page 31 for more information.

Ineligible Expenses:

The following are ineligible expenses and should not be included in the grant application. These are listed to assist applicants in understanding the focus of the RPE funds.

1. Victim Services/Response: These funds may not be used for direct victim service activities. This includes crisis lines or hotlines, crisis intervention, case management, advocacy, counseling, support groups, and community outreach efforts in support of direct client services. The only exception is the Prevention Coordinator handling disclosures during prevention activities or **on rare occasions** handling a crisis call when no other staff is available. RPE funds are dedicated to primary prevention, not victim response.
2. Offender Treatment: These funds may not support offender treatment programs. The focus of RPE will be prevention of first-time perpetration, NOT on offender treatment.
3. Victim Response Training: These funds **may not be used** for training that focuses on how service providers should respond to victims of sexual violence (e.g., advocates, Sexual Assault Nurse Examiner (SANE) programs, law enforcement or judicial response, etc.). EXCEPTION: if the Prevention Coordinator has not received previous training in victim response, funds may be used to cover the expenses related to providing such training upon hiring the Prevention Coordinator so that s/he may appropriately respond to a disclosure that might arise during prevention activities. Funds may not be used for such victim response training in an ongoing manner after the initial training of the Prevention Coordinator, and funds may not be used to support victim response training for any other agency staff member.
4. “No-Go-Tell” type Child Sexual Abuse Prevention Programs: These funds may not be used for programs that teach children about sexual abuse in ways that make them responsible for preventing their own abuse (e.g., teaching “touching rules” and encouraging children to say “no” and report abuses). The RPE Program is working to prevent perpetration from initially occurring and shift the onus of prevention to the community.
5. Victim Compensation: These funds may not be used to pay for costs that would otherwise be eligible for local or federal Victim Compensation reimbursement.

6. Lobbying, Legislative and Administrative Advocacy: These funds may not be used for the expenses of lobbying for victim legislation, systems improvement, or administrative reform, whether conducted directly or indirectly.
7. Fundraising: Any cost of fundraising is ineligible for funding. The cost of organized fundraising (including bingo, financial campaigns, endowment drives, solicitation of gifts and bequests) incurred solely to raise capital or obtain contributions may not be charged to these funds. Likewise, the salary (or portion thereof) of persons engaged in such activities and indirect costs associated with those efforts are ineligible.
8. Food/Refreshments: Federal rules do not allow RPE funds to be used for food expenses, except on a per diem reimbursement basis during staff travel, therefore these expenses are disallowed. **Food for meetings and other events MAY NOT be purchased using RPE funds.**
9. Incentives: Cash incentives are not allowed.

VII. EVALUATION CRITERIA

IVPB shall facilitate a comprehensive review process. Each application will undergo an initial screening to determine if all required documents and forms are included and presented in the required formats. Applications which are incomplete will be excluded from further review.

Scoring of Applications:

Applications shall be scored based on the responses to the five application content areas. The highest total score is 100 points. Agencies scoring below 70 will not be funded.

A selection committee chosen by the Division of Public Health will review each application submitted. Upon review of each application the selection committee will assign a numerical rating to each section based on the following:

Section I. Strengths and Needs Statement **(20 points)**

Section II. Description of Organization/Organizational Capacity and of Sexual Violence Leadership in the Community **(20 points)**

Section III: Description of Community Mobilization Efforts **(10 points)**

Section IV: Community Support **(10 points)**

Section V: Sexual Violence Primary Prevention Programming **(20 points)**

Section VI: Program Evaluation **(10 points)**

Section VII: Project Budget and Justification **(10 points)**

See details of each section under ‘Applicant’s Response’ on page 25.

VIII. APPLICATION

Application Checklist

The following items must be included in the application and assemble the application in the following order:

1. ___ **Cover Letter**
2. ___ **Application Face Sheet**
3. ___ **Applicant's Response**
4. ___ *IRS Documentation:*
 ___ **IRS Letter Documenting Your Organization's Tax
Identification Number** (public agencies)
 Or
 ___ **IRS Determination Letter Regarding Your Organization's
501(c) (3) Tax-exempt Status** (private non-profits)
 And
5. ___ **Verification of 501(c)(3) Status Form** (private non-profits)

1. Cover Letter

The application must include a cover letter, on agency letterhead, signed and dated by an individual authorized to legally bind the Applicant.

Include in the cover letter:

- the legal name of the Applicant agency
- the RFA number
- the Applicant agency's federal tax identification number
- the Applicant agency's DUNS number
- The closing date for applications.

2. Application Face Sheet

This form provides basic information about the applicant and the proposed project with *The Rape Prevention and Education Program*, including the signature of the individual authorized to sign “official documents” for the agency. This form is the application’s cover page. Signature affirms that the facts contained in the applicant’s response to RFA # *A341* are truthful and that the applicant is in compliance with the assurances and certifications that follow this form and acknowledges that continued compliance is a condition for the award of a contract. Please follow the instructions below.

1. Legal Name of Agency:	
2. Name of individual with Signature Authority:	
3. Mailing Address (include zip code+4):	
4. Address to which checks will be mailed:	
5. Street Address:	
6. Contract Administrator: Name: Title:	Telephone Number: Fax Number: Email Address
7. Agency Status (check all that apply): <input type="checkbox"/> Public <input type="checkbox"/> Private Non-Profit <input type="checkbox"/> Local Health Department	
8. Agency Federal Tax ID Number:	9. Agency DUNS Number:
10. Agency’s URL (website):	
11. Agency’s Financial Reporting Year:	
12. Current Service Delivery Areas (county(ies) and communities):	
13. Proposed Area(s) To Be Served with Funding (county(ies) and communities):	
14. Amount of Funding Requested	
15. Projected Expenditures: Does applicant’s state and/or federal expenditures exceed \$500,000 for applicant’s current fiscal year (excluding amount requested in #14) Yes <input type="checkbox"/> No <input type="checkbox"/>	
The facts affirmed by me in this application are truthful and I warrant that the applicant is in compliance with the assurances and certifications contained in NC DHHS/DPH Assurances Certifications. I understand that the truthfulness of the facts affirmed herein and the continuing compliance with these requirements are conditions precedent to the award of a contract. The governing body of the applicant has duly authorized this document and I am authorized to represent the applicant.	
16. Signature of Authorized Representative:	17. Date

3. Applicant's Response

The application must be typed, on 8.5" x 11" in Portrait page layout with margins of 1". Line spacing shall be double-spaced. The font shall be easy to read and no smaller than 12-point. The pages shall be numbered in the upper right corner. Include section headings listed in the Applicant's Response (project narrative). Some page limitations are specified, otherwise it is important to be concise and only include information pertinent to implementation of *The Rape Prevention and Education Program*.

Abstract: Include a 1-page abstract that summarizes each section of your application. *You may use no more than 1 page for the abstract. These instructions may be deleted to maximize space.*

Section I. Strengths and Needs Statement (20 points)

You may use no more than four pages for this section (not including appendices). These instructions and items below may be deleted to maximize space.

1. Describe the county or area you will be serving: include information about the population(s) who live there, the size and geographic diversity of the area, and any other factors that may impact your prevention activities (e.g., urban/rural, transportation, industry and economic conditions, recent events, etc.).
2. Describe the need for sexual violence prevention in your area of focus: include data on victimization and perpetration of various forms of sexual violence, limitations of the data, social norms you are aware of that may promote or prevent sexual violence, and anything else that may indicate a need for RPE programming. Additionally, include data for the population that will receive your organization's prevention programming. Conduct and submit a community readiness questionnaire with proposal (**Attachment 3: Perception of Community Readiness to Prevent Sexual Violence: Applicant Questionnaire**).
3. Describe the strengths in your community that may be helpful to you as you develop sexual violence primary prevention programming (e.g., other services, strong collaborations, strong and vocal advocate(s) for the prevention of sexual violence and other violence, things that are happening that indicate people may be ready to talk about this issue, etc.).
4. Describe any challenges you anticipate as you develop sexual violence primary prevention programming (e.g. resistant community leaders, community attitudes or values that support gender stereotypes, discriminatory policies, etc.).

Section II. Description of Organization/Organizational Capacity and of Sexual Violence Leadership in the Community (20 points)

You may use no more than four pages for this section (not including appendices). These instructions and items below may be deleted to maximize space.

1. Although the RPE grant does not fund client services, demonstrating leadership in the many aspects of addressing sexual violence is an important consideration. Provide evidence that the agency/organization is a recognized leader of sexual violence services and prevention activities in the community. Evidence may include, but is not limited to, the following:
 - a. Current or recent evidence of agency being a public spokesperson for sexual violence prevention.
 - b. Current evidence of leadership in influencing local policies and practices for sexual violence prevention.
 - c. Successful collaboration with other agencies for sexual violence prevention. Provide specific examples of collaboration activities beyond the work of the sexual violence task force; include any Memorandum of Understanding (MOUs) with other community agencies in the attachments.
 - d. Describe ways the Prevention Coordinator has encouraged other members of the community to take a more active role in sexual violence prevention efforts.
 - e. Culturally relevant provision of services to survivors of sexual violence. Involvement in a community task force or group to enhance the effectiveness of the response to sexual violence and/or to victims (e.g., a Sexual Assault Response Team (SART)).
 - f. Current examples of how your agency uses an anti-oppression lens in its work.
2. Describe how your agency responds to disclosures of sexual violence by participants during your proposed prevention activities.
 - a. This may include referring the participant to direct service staff at your agency.
 - b. **If the applicant agency/organization does not provide direct services to survivors of sexual violence or does not see clients under the age of 18, the applicant must:**

EITHER
 - i. Provide a Letter of Specific Commitment in your attachments from a local rape crisis center that has agreed to provide services to the individuals who have disclosed. (The review committee reserves the right to contact the rape crisis center listed in this Letter of Specific Commitment and ask about the history of their working relationship with the applicant).
OR
 - ii. Provide an MOU with partnering school that specifies how disclosures will be handled.
3. Describe how your agency has embraced sexual violence prevention work. Include the activities of the Board of Directors, the leadership and other staff.

Section III: Description of Community Mobilization Efforts (10 points)

You may use no more than four pages for this section. These instructions and bulleted items below may be deleted to maximize space.

1. The RPE Prevention Coordinator may participate in a pre-existing advisory council that addresses sexual violence as a priority or they may create a community advisory council. Provide a list of current Sexual Violence Prevention Advisory Council or Task Force members (e.g., individuals and the agencies/organizations they represent, if any). Provide a Letter of Specific Commitment from any individual, agency, or organization that serves on the Advisory Council. If an Advisory Council currently does not exist, provide a Letter of Commitment from an individual who will serve on the council if the project is funded.
2. Describe how your advisory council has played a role in community mobilization efforts, and how you think those efforts have contributed to a stronger sexual violence prevention infrastructure in your community.
3. Discuss other role(s) played by the Sexual Violence Prevention Advisory Council members during previous funding periods, if applicable.
4. Provide a plan for generally enhancing the roles of the Task Force for the duration of the new funding cycle (2018-2021). Also, describe ways in which the Task Force will assist with enhancing the sexual violence primary prevention activities the applicant will undertake.
5. Provide a plan to increase community ownership of the task force, including but not limited to, having members take on greater roles during the meetings and/or with planning community events, etc.
6. Provide examples of ways you plan to increase the diversity of representation by key individuals, agencies, and organizations.

Section IV: Community Support (10 points)

1. **Provide three Letters of Support** and a MOU with partnering school or agency from other community agencies/organizations and individuals that show a strong commitment for this application and/or sexual violence primary prevention, as well as ongoing support of, and involvement with your agency. If the applying agency is a Rape Crisis Center, one letter should be from a local college campus/university. NOTE: Letters of Support should be individualized and should speak to the unique relationship the author and/or their agency has with the applicant. Include these letters in your attachments. Letters should be current, no longer than 6 months before the application date.

Section V: Sexual Violence Primary Prevention Programming (20 points)

You may use no more than five pages for this section. These instructions and bulleted items below may be deleted to maximize space.

1. Provide a description of the comprehensive sexual violence primary prevention program you will undertake.
 - a. Describe how you will utilize evidence-based or evidence-informed strategies to build your primary prevention programs.
 - b. Describe the population(s) you plan to serve, as well as how and why you chose the population(s).
 - c. Describe the risk and protective factors you are addressing in your prevention programming.
 - d. Describe how you will incorporate activities along the outer layers of the socio-ecological model into your comprehensive programming.
 - e. Describe how you plan to use your evaluation results and lessons learned from the previous funding cycle to make data driven decisions for this funding cycle, if applicable.

Section VI: Program Evaluation (10 points)

You may use no more than two pages for this section. These instructions and items below may be deleted to maximize space.

1. Describe your agency's current efforts in sexual violence prevention evaluation. *(The level or degree to which you have experience will not affect your score)*
 - a. Describe how your agency uses data to make programmatic decisions
 - b. Please describe your agency's experience with designing and implementing evaluation tools.
 - c. If your agency has limited evaluation capacity; what resources exist in your community that can assist you with your evaluation efforts? Be specific in your description of these resources.

Section VII: Project Budget and Justification (10 points)

*You **must** utilize the budget form and narrative format provided. These instructions and items below may be deleted to maximize space. **These guidelines are applicable to all applicants for this grant.***

1. Applicants must complete the Open Window Budget Worksheet for year 1 of the funding period. This budget requires a line item budget and justification for the initial funding period of February 1, 2018 through January 31, 2019 for \$65,000, not to exceed this amount.

Applicants must complete a program budget and a budget justification narrative that list all expenses for the proposed project. You must use the following link to access the Injury and Violence Prevention website and locate the Open Window Budget Worksheet

and instructions ‘How to fill out the Open Window Budget Form’ at: <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm>. Please include your completed Open Window Budget Worksheet after your program narrative. In-kind or matching funds are not required for this program. Additional guidance for the main budget categories is found below:

The budget must be submitted as an Excel document on the electronic copy of the proposal documents. Do not remove any of the formulas in the Excel document. A guide to complete this budget worksheet may be downloaded from the same website.

a. Personnel (Human Resources)

- i. Include the annual salary for 1 full-time Prevention Coordinator. Applicants may also request up to 10% of the Prevention Coordinator’s supervisor’s salary.
- ii. Include the costs of fringe benefits for the full-time Prevention Coordinator. Applicants may also request up to 10% of the Prevention Coordinator’s supervisor’s fringe benefits.
- iii. **Provide staff names (if known)**, position title, and a brief description of the positions that shall be funded with grant funds in the justification narrative section. Human resources includes salary/wages and fringe benefits for all employees of the agency included in the proposed project, including full-time and part-time staff.

b. Travel

- i. Travel (in-state): In consideration of the mandatory 18-hour training requirement, it is highly advised that programs allot adequate travel costs for the Prevention Coordinator to travel to attend 3 all-day trainings. Additionally, include travel costs for both the coordinator and the supervisor to attend the all-day required Annual Grantee Leadership Training and any other required RPE training in Central North Carolina or a surrounding area.
- ii. Identify names and titles of staff for whom travel is proposed, briefly explain the purpose of the travel and how it relates to the project plan, and provide an estimate of mileage and per diem costs showing how those expenses were calculated. (Note: travel must be computed at rates no higher than the current State regulations). Mileage shall be based on rates located on the North Carolina Office of State Budget and Management’s (OSBM) web page available at: <https://www.osbm.nc.gov/budman5-travel-policies>.

Mileage rates fluctuate with the price of fuel; thus, the OSBM shall release a memorandum entitled “Change in IRS Mileage Rate” when there is a change in this rate. Effective July 1, 2017, the business standard mileage rate is 53.5 cents per mile. For other travel related expenses, please refer to the OSBM’s North Carolina Budget Manual. Current travel rates can be found in this document: <https://www.osbm.nc.gov/budman5-travel-policies>.

Current rates for travel and lodging are presented in the chart below; however, it is recommended that the applicant visit the North Carolina Budget Manual website to verify rates prior to submission of the application.

Subsistence is an allowance related to lodging and meal costs (including gratuities) (G. S. 138-6). The maximum allowable statutory rate for meals and lodging (subsistence) is \$109.50 for in-state travel and \$125.10 for out-of-state travel.

Meals and Lodging	In-State	Out-of-State	
Meals-Breakfast	\$8.40	\$8.40	Must leave prior to 6 AM
Meals-Lunch	\$11.00	\$11.00	Must leave prior to Noon on the departure day or return after 2 PM on the returning day
Meals- Dinner	\$18.90	\$21.60	Must leave prior to 5 PM on the departure day or return after 8 PM on the returning day
Meals Total per day	\$38.30	\$41.00	
Lodging	\$71.20 (maximum)	\$84.10 (maximum)	Prior approval is required if actual lodging costs exceeds the maximum allowed
Total per day	\$109.50	\$125.10	

A break allowance for external conferences with more than 20 attendees is allowed per person, per day in the amount of \$4.50.

Allowable Travel Reimbursement Rates:

Travel	Rate	Reimbursement
Transportation by Personal Vehicle	\$0.535 per mile	Per mile.
Transportation by Common Carrier	Actual	Reimbursement for taxi, shuttle, rail, or bus fare is limited to actual coach fare, substantiated by receipt.
Parking fees, tolls, storage fees	Actual	Reimbursable when the required receipts are obtained.

- c. Communications: List costs including telephone; internet, e-mail and other communications related to project and associated unit costs.
- d. Supplies: List supply needs and associated costs
- e. Postage: List postage costs
- f. Equipment: List necessary equipment; note that requests over \$500 require State **PRE**-approval. Requests for computer purchase require additional **PRE**-approval)
- g. Other: List all other operations costs associated with conducting program activities

2. Provide a Letter of Specific Commitment in proposal attachments from any agency, organization, or individual that has agreed to provide in-kind or financial match for the purpose of this Rape Prevention and Education project.
3. Provide a budget narrative that clearly justifies each item listed in the budget and clearly links it to planned activities in support of the RPE Program. The budget narrative must include calculations used to arrive at the requested line item amount.

Other Restrictions:

Audits

G.S. 143C-6-23 requires every nongovernmental entity that receives State or Federal pass-through grant funds directly from a State agency to file annual reports on how those grant funds were used.

There are 3 reporting levels that are determined by the total direct grant receipts from all State agencies in the entity's fiscal year:

Level 1: Less than \$25,000

Level 2: At least \$25,000 but less than \$500,000

Level 3: \$500,000 or more

Level 3 grantees are required to submit an audit. Only Level 3 grantees may include audit expenses in the budget. Audit expenses should be prorated based on the ratio of the grant to the total pass-through funds received by the entity.

Indirect Cost

Indirect cost is the cost incurred for common or joint objectives which cannot be readily identified but are necessary to the operations of the organization, e.g., the cost of operating and maintaining facilities, depreciation, and administrative salaries. Regulations restricting the allocation of indirect cost vary based on the funding source.

Indirect costs are allowed on the portion of the sub-award funded by the Injury Prevention and Control Research and State and Community Based Programs. This program award limits administrative costs to FIVE (5%) percent.

Applicants may request indirect cost up to 5%, regardless of the applicant's recognized rate, on the total modified direct cost as defined in their Federally Negotiated Indirect Cost Letter (FNICR) or, if no FNICR, as defined in 2 CFR 200.68, *Modified Total Direct Cost (MTDC)*.

Applicants who do not wish to claim any indirect cost should enter "No indirect cost requested" in the indirect cost line item of the budget narrative.

4. IRS Letter

Public Agencies:

Provide a copy of a letter from the IRS which documents your organization's tax identification number. The organization's name and address on the letter must match your current organization's name and address.

Private Non-profits:

Provide a copy of an IRS determination letter which states that your organization has been granted exemption from federal income tax under section 501(c) (3) of the Internal Revenue Code. The organization's name and address on the letter must match your current organization's name and address.

This IRS determination letter can also satisfy the documentation requirement of your organization's tax identification number.

5. Verification of 501(c)(3) Status Form

Verification of 501 (C)(3) Status

We, the undersigned entity, hereby testify that the undersigned entity's 501 (c)(3) status, on file with the North Carolina Department of Health and Human Services is still in effect.

Name of Agency

Signature of Chairman, Executive Director, or other authorized official

Title of above signed authorized official

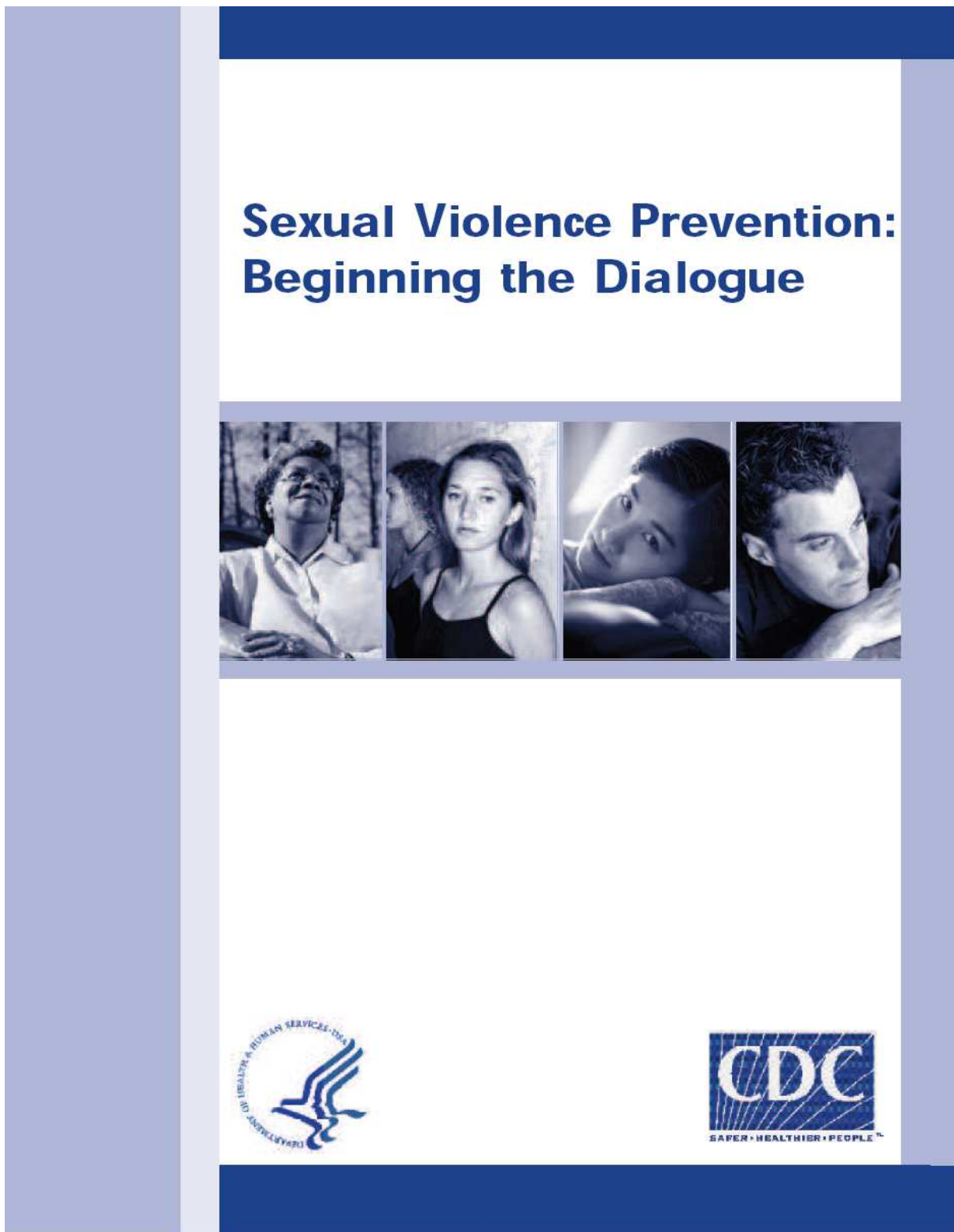
Sworn to and subscribed before me this _____ day of _____, 20__.

Notary Signature and Seal

Notary's commission expires _____, 20 ____.

IX: ATTACHMENTS AND GUIDANCE DOCUMENTS

Attachment 1: SEXUAL VIOLENCE PREVENTION: BEGINNING THE DIALOGUE



CDC Internal Workgroup Members

Margaret Brome
Janet Saul
Karen Lang
Rebeca Lee-Pethel
Neil Rainford
Jocelyn Wheaton

Acknowledgments

CDC wishes to thank the following people for their expertise and sound advice on how to present this important information:

Karen Baker, National Sexual Violence Prevention Center

Kathleen Basile, Centers for Disease Control and Prevention

Shelley Bearman, Kansas Department of Health

Gail Burns-Smith, National Alliance to End Sexual Assault; Connecticut Sexual Assault Crisis Services

Larry Cohen, Prevention Institute

Linda Dahlberg, Centers for Disease Control and Prevention

Rachel Davis, Prevention Institute

Marci Diamond, Massachusetts Department of Health

Alisa Klein, Stop It Now

Sally Laskey, National Sexual Violence Resource Center

James Mercy, Centers for Disease Control and Prevention

Delilah Rumberg, Pennsylvania Coalition Against Rape

Wendy Siebold, Michigan State University

Nan Stein, Wellesley College Center for Research on Women

Gayle Stringer, Washington Coalition Against Sexual Assault Program

Suggested Citation: Centers for Disease Control and Prevention. Sexual violence prevention: beginning the dialogue. Atlanta, GA: Centers for Disease Control and Prevention; 2004.

Prevention: Beginning the Dialogue

One day, a fisherman was fishing from a river bank when he saw someone being swept downstream, struggling to keep their head above water. The fisherman jumped in, grabbed the person, and helped them to shore. The survivor thanked the fisherman and left, and the hero dried himself off and continued fishing. Soon he heard another cry for help and saw someone else being swept downstream. He immediately jumped into the river again and saved that person as well. This scenario continued all afternoon. As soon as the fisherman returned to fishing, he would hear another cry for help and would wade in to rescue another wet and drowning person. Finally, the fisherman said to himself, "I can't go on like this. I'd better go upstream and find out what is happening."

This public health analogy of "moving upstream" to prevent tragedies from occurring downstream is taught in many public health courses and is relevant for our dialogue on sexual violence prevention. It is presented as a catalyst for discussion and to convey how important it is to have strong teams along the river building safe passages.

The Centers for Disease Control and Prevention (CDC) could not begin to address sexual violence prevention without the years of hard work and dedication of survivors, advocates, prevention educators, and other professionals. Their efforts ensure the provision of crisis intervention, victim advocacy, and social and mental health services that are critical to the long-term well being of those affected by sexual violence. One of the tenets of the public health approach is building partnerships and identifying the strengths and expertise that partners offer to help frame solutions to a public health problem. CDC's niche is to be part of the team working at the top of the river: building safe passages and keeping people from being pushed into the river. The Rape Prevention and Education (RPE) grant program should be a major contributor to this effort. We also know that we are working in partnership with others along the river making sure that anyone who falls in will survive.

Purpose

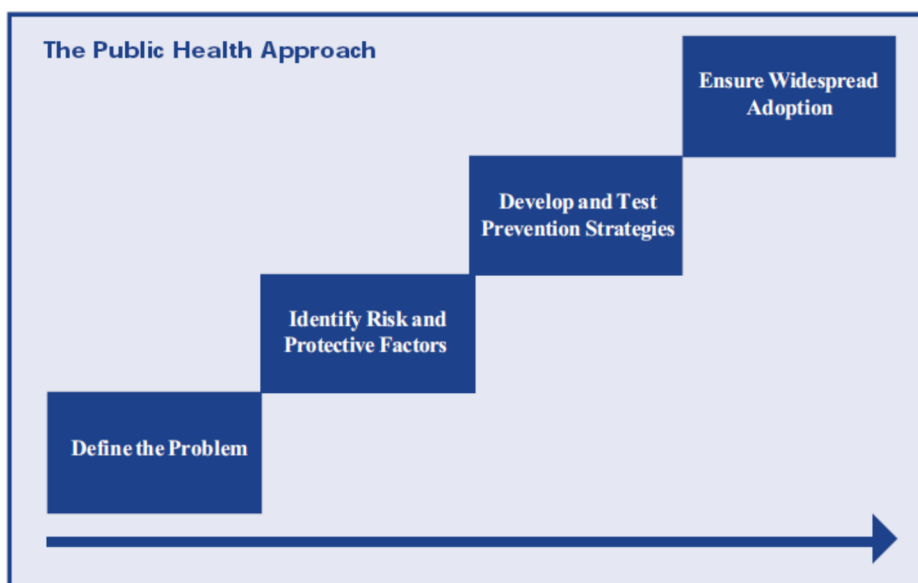
This document is intended to begin the dialogue about what it means to move upstream. Over the past few years — since CDC's Injury Center became the administrator of the RPE program — we have been asked repeatedly to define what we mean by "prevention." How does prevention look, and where should recipients of RPE funds focus their efforts and resources? Our working definition of sexual violence prevention for the RPE program is population-based and/or environmental and system-level strategies, policies, and actions that prevent sexual violence from initially occurring. Such prevention efforts work to modify and/or entirely eliminate the events, conditions, situations, or exposure to influences (risk factors) that result in the initiation of sexual violence and associated injuries, disabilities, and deaths. Additionally, sexual violence prevention efforts address perpetration, victimization, and bystander attitudes and behaviors, and seek to identify and enhance protective factors that impede the initiation of sexual violence in at-risk populations and in the community.

CDC convened an internal working group to review theoretical frameworks and to define and describe prevention concepts and strategies that were compatible with the public health approach and would benefit entire communities affected by this issue. CDC also solicited input from advocates and others working in the sexual violence field (see inside front cover for the list of reviewers).

We would like RPE grantees to use these prevention concepts and strategies as a foundation for planning, implementing, and evaluating activities conducted with RPE funds. In addition, we would like RPE grantees to share this document and discuss its content with traditional and nontraditional partners, particularly those who work at the local level with communities. Discussions with key stakeholders and community leaders (including public health agency leadership) will also help build support for prevention activities.

The Public Health Approach to Prevention

As a recipient of RPE funds, you have probably heard us talk about the “public health approach” to sexual violence prevention. Similar to other disciplines, public health promotes specific principles as the foundation for work within the field. Four public health principles—health of the public, data-informed approaches, cultural competency, and prevention—are central to this document and to our ongoing discussion of sexual violence prevention.



Public health is ultimately concerned with approaches that address the health of a population rather than one individual. This is generally referred to as a population-based approach and is one of the principles that distinguishes public health from other approaches to health-related issues (e.g., medicine focuses on helping the individual). Based on this principle, a public health prevention strategy demonstrates benefits for the largest group of people possible, because the problem is widespread and typically affects the entire population in some way, either directly or indirectly. The public health approach also depends upon collective action (Krug, Dahlberg, Mercy, et al. 2002). It is a community-oriented approach that takes the onus from victims and advocates and encourages the entire community (women, men, and youth) to prevent sexual violence.

Data-informed, evidence-based approaches are also a central concept in the field of public health. According to this principle, all phases of program planning and implementation should be based on the best information available. Below are some examples of how data can be used in all four steps of the public health approach.

- **Define the Problem.** Data can provide answers to questions of how much sexual violence is happening, where it is happening, and who are the victims and perpetrators. Data sources may include the criminal justice system, emergency rooms, rape crisis centers, and general public surveys. These data can be used in many ways such as applying for resources, focusing the delivery of prevention programs, and tracking the success of various efforts over time.

- **Identify Risk and Protective Factors.** Findings from research studies can reveal some of the factors that may put people at risk for sexual violence perpetration and victimization or protect them from harm. Those who design sexual violence prevention programs can use this information to plan the content of their program by focusing on activities that address those risk and protective factors.
- **Develop and Test Prevention Strategies.** Data gathered from the experiences of practitioners working with various groups and through community assessments, stakeholder interviews, and focus groups may be useful for designing prevention programs that increase program acceptability among the intended audience. In addition, information gathered during program implementation can be used to document successful and unsuccessful implementation; demonstrate program accomplishments; and identify areas needing improvement. Promising programs and curricula should undergo rigorous evaluation before they are widely disseminated.
- **Ensure Widespread Adoption.** Once data supports an effective prevention strategy, the goal is to establish the prevention strategy as a standard in the field of sexual violence prevention. Prevention strategies known to be effective should be adopted and implemented in a variety of settings, and should replace ineffective strategies. Dissemination techniques that can promote widespread adoption and implementation of the new standards include training, networking, technical assistance, and process evaluation to assure fidelity. Dissemination should also include outcome evaluation to assess the effectiveness of strategies with new populations.

A key principle that cuts across all areas of the public health approach is cultural competency. It is essential that core activities such as collecting and analyzing data, designing and implementing programs, and determining what works be conducted within the context of the unique aspects of various populations and communities. Guidance from the population is key in the design, implementation, and evaluation of a prevention program. Also, simply translating the materials for a given intervention into a different language does not constitute a culturally-appropriate or relevant strategy as it does not address the different ways communities talk and think about sexual violence.

The concept of prevention is central to the field of public health. The remainder of this document focuses on prevention and how these public health principles can be applied to programmatic decision-making in the field of sexual violence.

Prevention: WHEN do we intervene?

Public health interventions are often grouped into three prevention categories based on when the intervention occurs. Sexual violence interventions can be divided into the following three categories:

- **Primary Prevention:** Approaches that take place *before* sexual violence has occurred to prevent initial perpetration or victimization.
- **Secondary Prevention:** Immediate responses *after* sexual violence has occurred to deal with the short-term consequences of violence.
- **Tertiary Prevention:** Long-term responses *after* sexual violence has occurred to deal with the lasting consequences of violence and sex offender treatment interventions.

**In this document, "intervention" describes any prevention or service-related activity.*

While the major purpose of interventions that take place after violence has occurred is to reduce or ameliorate the negative effects of the violence, some of these approaches may have the advantageous effect of preventing a reoccurrence of violence. Categorizing prevention by WHEN an intervention occurs is a less than perfect fit when looking at violence, and therefore we often simplify this discussion by talking about interventions to prevent violence *before* it ever occurs and those that take place *after* violence has already occurred.

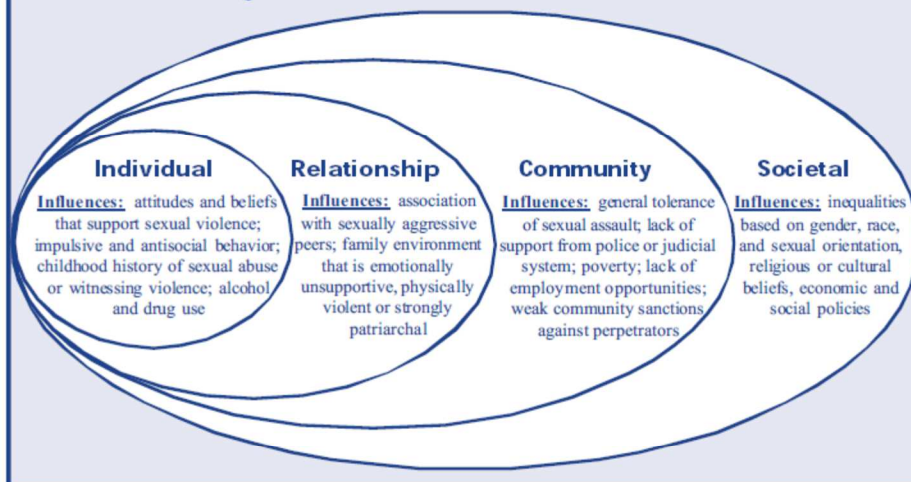
Prevention: WHAT is the focus?

To prevent sexual violence, we have to understand what circumstances and factors influence its occurrence. There are many different theoretical models that attempt to describe the root causes of sexual violence: biological models, psychological models, cultural models, and grassroots, feminist, power-based models. Each of these models contributes to a better understanding of sexual violence and helps experts build programs that sustain protective factors and reduce modifiable risk factors. The CDC working group (see inside front cover) chose to use an ecological model as part of the framework for our discussion because it allows us to include risk and protective factors from multiple domains. Thus, if there is evidence from psychological models about individual risk factors and from feminist models about societal risk factors, it can all be incorporated in the same ecological model. Building such a model offers a framework for understanding the complex interplay of individual, relationship, social, political, cultural, and environmental factors that influence sexual violence (Dahlberg and Krug 2002) and also provides key points for prevention and intervention (Powell, Mercy, Crosby, et al. 1999). We use the four-level ecological model presented in the *World Report on Violence and Health* for this discussion (Dahlberg and Krug 2002); however, there are a variety of ecological models that have been developed (see, for example, Heise 1998).

The examples in Table 1 illustrate the levels of the ecological model. The examples of risk factors are also taken from the chapter on sexual violence in the *World Report on Violence and Health* (Jewkes, Sen, Garcia-Moreno 2002) and are not a comprehensive list of risk factors for sexual violence perpetration. There is a lack of research on protective factors so no such examples are presented in the model.

- **Individual-level influences** are biological and include personal history factors that increase the likelihood that an individual will become a victim or perpetrator of violence. For example, factors such as alcohol and/or drug use; attitudes and beliefs that support sexual violence; impulsive and other antisocial tendencies; preference for impersonal sex; hostility towards women; and childhood history of sexual abuse or witnessing family violence may influence an individual's behavior choices that lead to perpetration of sexual violence (Dahlberg and Krug 2002). Interventions for individual-level influences are often designed to target social and cognitive skills and behavior and include approaches such as counseling, therapy, and educational training sessions (Powell et al. 1999).
- **Interpersonal relationship-level influences** are factors that increase risk as a result of relationships with peers, intimate partners, and family members. A person's closest social circle—peers, partners, and family members—can shape the individual's behavior and range of experience (Dahlberg and Krug 2002). Interventions for interpersonal relationship-level influences could include family therapy, bystander intervention skill development, and parenting training (Powell et al. 1999).

Table 1. The Ecological Model



- **Community-level influences** are factors that increase risk based on community and social environments and include an individual's experiences and relationships with schools, workplaces, and neighborhoods. For example, lack of sexual harassment policies in the workplace can send a message that sexual harassment is tolerated, and that there may be few or no consequences for those who harass others. Interventions for community-level influences are typically designed to impact the climate, systems, and policies in a given setting.
- **Societal-level influences** are larger, macro-level factors that influence sexual violence such as gender inequality, religious or cultural belief systems, societal norms, and economic or social policies that create or sustain gaps and tensions between groups of people. For example, rape is more common in cultures that promote male sexual entitlement and support an ideology of male superiority (Dahlberg and Krug 2002). Interventions for societal-level influences typically involve collaborations by multiple partners to change laws and policies related to sexual violence or gender inequality. Another intervention would be to determine societal norms that accept violence and to identify strategies for changing those norms (Powell et al. 1999).

The ecological model supports a comprehensive public health approach that not only addresses an individual's risk factors, but also the norms, beliefs, and social and economic systems that create the conditions for the occurrence of sexual violence.

Prevention: Integrating the WHEN and the WHAT

The following matrix provides examples of how interventions to prevent violence before it occurs, and interventions that take place after violence has happened, can be implemented across all levels of the ecological model. Distinguishing interventions by "before" and "after" violence has occurred serves to highlight the salient differences between the two approaches.

Table 2. The WHEN and WHAT Matrix

	Individual	Relationship	Community	Societal
Before	Implement and evaluate discussion groups among men that explore prevalent notions of masculinity and their relationship with sexual violence; healthy and respectful relationships; and men's role in preventing sexual violence.	Implement and evaluate a discussion group based intervention with male peer groups (e.g., fraternities, athletic teams) to change group norms that support and condone sexual harassment and violence. Men will learn to hold their peers accountable for attitudes and behaviors that support sexual violence.	Engage youth as agents of change to affect their school's climate of tolerance for sexualized bullying by leading classroom-based conversations and school-wide special events.	Assist in educating legislators about the importance of economic and educational policies that promote the economic status of women and reduce inequalities in employment.
After	Provide offender treatment services for perpetrators. Provide crisis intervention services for sexual assault survivors.	Provide services to family members of sexual assault survivors to assist them in resolving the impact of the assault and to help them be sensitive and supportive of the survivor.	Develop police protocols for responding to and investigating reports of sexual assaults. Hold "Take Back the Night" rallies to raise community awareness of the scope, nature, and impact of sexual violence.	Assist in educating legislators about the importance of mandatory legislation that ensures all survivors of sexual assault the provision of a forensic medical exam at no charge.

Prevention: WHO is it for?

Prevention strategies are often developed based upon the group for whom the intervention is intended. Using this type of differentiation, sexual violence interventions can again be divided into three categories:

- Approaches that are aimed at groups or the general population regardless of individual risk for sexual violence perpetration or victimization are called **universal** interventions. Groups can be defined geographically (e.g., entire school or school district) or by characteristics (e.g., ethnicity, age, gender).
- Approaches that are aimed at those who are thought to have a *heightened risk* for sexual violence perpetration or victimization are referred to as **selected** interventions.
- Approaches that are aimed at those who have already *perpetrated* sexual violence or have been *victimised* are called **indicated** interventions.

Prevention: Integrating the WHAT and the WHO

The following matrix demonstrates how universal, selected, and indicated approaches can be implemented across the ecological model. Comprehensive prevention programs are multifaceted and address multiple cells within the matrix. CDC acknowledges that some of the programs and services designed for victims may also prevent reoccurrences of victimization and perpetration. However, we still consider these activities “indicated” because the primary goal of many of these programs is to address the important need to prevent the short- and long-term negative consequences of the violence. As a primary goal, the public health community wants to prevent new incidents from occurring, so in keeping with this, we have provided some examples of strategies and activities for both universal and selected approaches within the ecological model.

It is important to note that the cells in the matrix are not isolated from one another and may overlap. For example, women could be defined as an entire population for a universal approach or as a high-risk group for a selected approach. Either approach could be appropriate, but the course of action taken should be based on data or other considerations outlined in “How to Make Programmatic Decisions about Prevention Approaches” on page 10.

Because this document is geared toward the RPE program, no examples for indicated approaches were included.

Table 3. The WHAT and WHO Matrix

NOTE: The example strategies in this matrix further describe prevention concepts and strategies. CDC looks forward to working with grantees to develop innovative and effective ways to prevent sexual violence that address individual, relationship, community, and societal influences for universal and selected populations.

	Individual	Relationship	Community	Societal
Universal	<p>Approaches are aimed at <i>everyone</i> in the population of interest, regardless of risk, and are designed to impact individual factors that increase the likelihood of being a victim or perpetrator of sexual violence (SV).</p> <p><i>Example:</i></p> <ul style="list-style-type: none"> a) Develop, implement, and evaluate a comprehensive, faith-based educational program with multiple sessions and clear outcomes that will teach people about sexual violence and dispel the rape myths, attitudes, and beliefs that condone SV. b) Evaluate and implement effective curriculum on dating and SV that is delivered to high school students in grades 9-12. 	<p>Approaches are aimed at <i>everyone</i> in the population of interest, regardless of risk, and are designed to impact factors that increase the risk of SV as a result of relationships with peers, intimate partners, and family members.</p> <p><i>Example:</i></p> <ul style="list-style-type: none"> a) Develop, implement, and evaluate a program for little league coaches to build/develop skills to interrupt and address inappropriate comments and behaviors among athletes that promote a climate condoning bullying, sexual harassment and SV. b) Partner with a local PTA to develop, implement, and evaluate a skills-building program for parents to help them address attitudes and behaviors in their children that promote SV. 	<p>Approaches are aimed at <i>everyone</i> in the population of interest, regardless of risk, and are designed to impact community and social environments that increase the risk of SV.</p> <p><i>Example:</i></p> <ul style="list-style-type: none"> a) Implement and enforce sexual harassment policies in schools, workplaces, and other institutions. b) Help communities implement environmental safety measures such as adequate lighting and emergency call boxes. This complements community education and enforcement of policies that prohibit inappropriate behavior such as stalking and threatening or coercing community residents. c) Hold annual meetings or press conferences to alert communities about the latest statistics on SV to rally support for prevention. 	<p>Approaches are aimed at <i>everyone</i> in the population of interest, regardless of risk, and are designed to impact the larger, macro-level factors that influence SV, such as gender inequality and religious, cultural, social, or economic factors.</p> <p><i>Example:</i></p> <ul style="list-style-type: none"> a) Conduct strategic planning activities with partners and policymakers using data from a variety of sources such as emergency rooms, crime reports, rape crisis centers, etc. to help determine where, when, and to whom prevention activities should be focused. b) Promote and enforce full implementation of the Title IX law. c) Establish and enforce policies for colleges and universities to accurately report SV on campus and provide rape prevention programs to students and staff.

	Individual	Relationship	Community	Societal
Selected	Approaches are aimed at those in the population at heightened risk for SV victimization or perpetration and are designed to impact individual factors that increase the likelihood of victimization or perpetration.	Approaches are aimed at those in the population at heightened risk for SV victimization or perpetration and are designed to impact factors that increase the risk of SV as a result of relationships with peers, intimate partners, and family members.	Approaches are aimed at those in the population at heightened risk for SV victimization or perpetration and are designed to impact community and social environments that increase the risk of SV.	Approaches are aimed at those in the population at heightened risk for SV victimization or perpetration and are designed to impact the larger, macro-level factors that influence SV, such as gender inequality, and religious, cultural, social, or economic factors.
	<p>Example:</p> <p>a) Implement and evaluate a program for high school boys to address alcohol/drug use and the ability to give and receive clear consent for sexual activity. Multi-session, classroom-based, peer-led discussions with messaging reminders from peers or media (posters, PSAs, etc.) should be included.</p> <p>b) In partnership with an immigration and refugee center, develop, implement, and evaluate a culturally-appropriate awareness campaign for immigrants and refugees that dispels rape myths and the beliefs and attitudes that condone SV as they integrate into a community.</p>	<p>Example:</p> <p>a) Implement and evaluate a program that addresses potentially high risk components of "Greek life," specifically fraternities where male-peer support for obtaining sex by facilitating intoxication (alcohol/drug) is acceptable.</p> <p>b) Implement and evaluate a skill-building program for parents of youth convicted of inappropriate sexual behavior to help them address attitudes and behaviors that promote SV.</p>	<p>Example:</p> <p>a) Develop, implement, and evaluate a program in neighborhoods with a high density of alcohol advertising and advertising that sexualizes/objectifies women to demand the removal of such advertising as a means of changing the social environment that supports sexual violence.</p> <p>b) Establish and enforce employee and volunteer screening and training policies for caregivers of persons with disabilities.</p>	<p>Example:</p> <p>a) Work through mass media (PSAs, editorials, documentaries, insertion into programming, etc.) to promote societal norms that support prevention, endorse help seeking (treatment and counseling) behaviors, and lessen the stigma for individuals that identify themselves as being a potential perpetrator.</p> <p>b) Educate policymakers to support efforts that are designed to address and ameliorate the consequences of children's exposure to violence, including family violence, school violence, and youth violence (as part of an overall comprehensive sexual violence prevention plan).</p>

	Individual	Relationship	Community	Societal
Indicated	Approaches are aimed at those in the population who are victims or perpetrators of SV and are designed to impact individual factors that increase the likelihood of re-victimization or re-perpetration.	Approaches are aimed at those in the population who are victims or perpetrators of SV and are designed to impact factors that increase risk of re-victimization or re-perpetration as a result of relationships with peers, intimate partners, and family members.	Approaches are aimed at those in the population who are victims or perpetrators of SV and are designed to impact community and social environments that increase the risk of re-victimization or re-perpetration.	Approaches are aimed at those in the population who are victims or perpetrators of SV and are designed to impact the larger, macro-level factors that influence the likelihood of re-victimization or re-perpetration, such as gender inequality, and religious, cultural, social, or economic factors.

Making Programmatic Decisions About Prevention Approaches

None of the categories presented within the matrix (i.e., the what and who of prevention) are superior to the others. In fact, each has its own advantages and disadvantages (Powell et al. 1999). Universal, selected, and indicated interventions all contribute to a comprehensive prevention strategy. However, CDC's strength lies in supporting universal and selected strategies focused on preventing sexual violence before it occurs. These strategies provide the maximum benefit for the largest number of people and work to modify and/or entirely eliminate the event, conditions, situations, or exposure to influences (risk factors) that result in the initiation of sexual violence. Additionally, these prevention efforts identify and enhance protective factors that may prevent sexual violence in at-risk populations and the community at large. CDC decisions about the RPE program are guided by this prevention approach.

We all have limited resources and difficult decisions to make about which programs to implement. The following questions highlight some of the issues to consider when deciding where to focus your RPE program resources:

What are the mission and goals of the funding agency?

- If you are applying for funds to support prevention activities, certain types of prevention may be more or less suitable, depending on the mission of the funding agency. For example, criminal justice sanctions and offender treatment programs that focus on perpetrator accountability may be more appropriate for funds from an agency with a criminal justice mission. The public health approach to prevention focuses on improving the health of populations rather than a single individual. Therefore, as a public health agency, CDC is more likely to focus on universal and selected approaches with an emphasis on preventing sexual violence *before* it occurs.

Do the mission and goals of your agency support rape prevention and education?

- The compatibility of your organization's mission and goals with those of various funding agencies may drive your decisions about the types of grants and cooperative agreements for which you apply and for the types of prevention activities you plan to conduct.

Where are current resources being focused and where are the gaps?

- Resources for all levels of prevention are limited within the field of sexual violence prevention. Analyzing how federal, state, and local funds are allocated and used can show where the largest gaps exist within the matrix. At this time, the majority of federal and state funds are designated for indicated approaches—*after* the sexual violence has occurred. Funds that allow for universal and selected (“before”) approaches can provide a unique opportunity to develop a more comprehensive strategy and to focus on the problem “upstream.” (For example, rather than implementing a one time pre/post-tested training session geared towards children in schools, develop a more comprehensive systems approach to address school environments, policies and procedures, and behaviors and attitudes that support or condone sexual violence). At the current program level, priority is often given to secondary and tertiary approaches to violence prevention to provide much needed services to victims and to hold perpetrators accountable (Krug et al. 2002). While this focus is understandable because the human need is so great, it can leave a gap in primary/universal and selected approaches to prevention.

What do we know about who is at risk for sexual violence perpetration and who is vulnerable to sexual violence victimization?

- Research in the area of risk and protective factors for sexual violence is still evolving and does not yet offer specific strategies. However, some approaches are more appropriate than others, depending on who is at risk (Powell et al. 1999). If everyone is at equal risk, a universal approach is more appropriate. If a certain group has been accurately identified as the source of many or most new incidents of sexual violence, a selected approach may be more appropriate. For a synopsis of known risk factors, please refer to the *World Report on Violence and Health* (Krug et al. 2002).

What data are available to help you make decisions?

- One of the basic principles of the public health approach is to use data to make programmatic decisions. Data can come from a variety of sources including public health surveillance, research, and program evaluation.
- Do you have evaluation data for current programs or for those you plan to implement in the future? Evaluation data are a critical part of the program planning, development, implementation, and improvement cycle. These types of data ensure that you are accomplishing what you set out to do and that you know when a part of your program needs some improvement. It is important for programs to incorporate outcome data to evaluate efforts and to provide evidence that you are making a difference. Outcome data may also be helpful for garnering additional resources and support for your efforts.

Who are your partners?

- Sexual violence is a complex and multifaceted issue that requires a broad-based, multisystem response from a wide array of individuals, groups, and agencies. Because sexual violence affects all sectors of our communities, many groups and agencies are engaged in prevention efforts. As you look at the allocation of current resources and identify gaps, look for ways to partner with other groups and agencies to make limited resources go further, especially among those groups and organizations that represent and include members of underserved populations. Many states were able to develop broader, more comprehensive initiatives by partnering and sharing staff and other resources.

Are the programmatic activities permissible?

- Congress legislated that RPE grant funds may be used for the following seven permitted uses:
 1. Educational seminars
 2. Hotlines
 3. Training programs for professionals
 4. Informational materials
 5. Training programs for students and campus personnel designed to reduce the incidence of sexual assault at colleges and universities
 6. Education to increase awareness about drugs used to facilitate rape or sexual assault
 7. Other efforts to increase awareness in underserved communities and awareness among individuals with disabilities as defined in Section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).
- Given our discussion about the public health approach to prevention, states are encouraged to think broadly. They should consider implementing universal or selected interventions across the ecological model that are permissible program activities.

These are just a few of the issues that programs struggle with when making decisions. There are obviously other things to consider such as the cost of various programs; the level of evidence on effective approaches; the capacity of your organization to carry out various approaches; and your organization's access to and experience working with various populations, etc.

Summary

This initial discussion of public health approaches to sexual violence prevention lays the foundation for future dialogue about ways RPE programs can individually and collectively identify strategies and opportunities for maximizing the effectiveness of limited program funds. This dialogue could not begin without acknowledging the important and ground-breaking work of survivors, advocates, prevention educators, and other professionals who have worked tirelessly to bring the issue of sexual violence to the forefront. CDC places great value in developing partnerships and working creatively to move "upstream."

We know that prevention works through our experience in addressing other public health issues. The spectrum of sexual violence prevention is broad and multifaceted, and requires the skills and approaches from many disciplines and areas of expertise. Through the RPE program, CDC hopes to contribute to sexual violence prevention by promoting efforts to modify or eliminate the individual, relationship, community, and societal influences that result in perpetration, victimization, and bystander attitudes that allow sexual violence to occur. In particular, CDC seeks those efforts designed especially for general populations (universal efforts) or those at heightened risk (selected efforts) to ensure that the greatest number of people benefit from the prevention of sexual violence.

References

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Attachment 2: PRINCIPLES OF EFFECTIVE PREVENTION PROGRAMS

The principles of effective prevention programs were determined based on a review of many prevention projects across a number of topic areas¹. CDC is promoting these as principles for the planning and implementation of programs for the primary prevention of sexual violence. The principles say that effective prevention programs have the following characteristics:

Comprehensive - multi-component strategies in multiple settings that address a range of risk and protective factors

Varied teaching methods - strategies that increase awareness and understanding as well as enhance and build new skills (e.g. hands on experience, role plays, verbal and written practice, multi-modal allowing participants to develop and practice new skills)

Sufficient dosage - exposure to enough of the intervention to produce the desired effects (i.e. multiple sessions). Saturation of fewer audiences rather than spreading our efforts over many audiences.

Theory driven - preventive strategies that have a scientific justification or logical rationale. Theory is often basis for developing an approach to intervention that addresses the problem.

Positive relationships - programs that promote strong positive relationships between children and adults. Effective programs support development of positive parent-child relationships, provide opportunity for youth and establish positive relationships with adult role models, provide adult mentor.

Appropriately timed - programs initiated early enough to have an impact on the development of problem behavior(s). Effective programs focus on risk factors and/or risk behaviors before development and are tailored to the intellectual, cognitive and social development level of participants.

c. **Socioculturally relevant** - tailored to the community and cultural norms, beliefs and practices; inclusion of community in planning and implementation

d. **Outcome evaluation** - systematic evaluation that documents how well a program has met the goals and objectives

Well-trained staff - programs are implemented by staff that are sensitive, competent and sufficiently trained, supported, and supervised. Booster training and technical assistance are critical.

¹ Nation, M., Crusto, C., Wandersman, A., Kumpfer, K. L., Seybolt, D., Morrissey-Kane, E., & Davino, K. (2003). What Works in Prevention: Principles of Effective Prevention Programs. *American Psychologist*, 58, 449-456

Attachment 3:
PERCEPTION OF COMMUNITY READINESS TO PREVENT SEXUAL VIOLENCE:
APPLICANT QUESTIONNAIRE

*Instructions: The following statements are adapted from the Tri-Ethnic Center's Community Readiness Assessment Tool (you can access the full tool [here](#) for reference). Community Readiness refers to the degree to which a community is ready to take action on an issue. Understanding your community's level of readiness is essential when choosing strategies and collaborative partnerships that will best match your community's current level of buy-in and capacity. Note that Community Readiness Assessments are often intended to be implemented as qualitative and/or quantitative research tools. For the purpose of this Request for Applications (RFA), we are asking applicants to assess **their perception** of where their overall community and stakeholders would land for each domain. Where your community and stakeholders fall on each domain will not impact your overall score for this application; rather it is intended to be a tool that helps the applicant and the funder understand if there is good fit between a community's readiness to prevent sexual violence and the comprehensive strategy proposed in this application. **Please respond to each statement in narrative form according to your community's level of readiness for sexual violence prevention.***

Dimension A. Existing Community Efforts to Prevent Sexual Violence

1. No awareness of the need for efforts to prevent sexual violence.
2. No current efforts to prevent sexual violence.
3. A few individuals recognize the need to initiate some type of effort, but there is no immediate motivation to do anything.
4. Some community members have met and have begun a discussion of developing community efforts.
5. Efforts (programs/activities) are being planned.
6. Efforts (programs/activities) have been implemented.
7. Efforts (programs/activities) have been running for several years.
8. Several different programs, activities and policies are in place, covering different age groups and reaching a wide range of people. New efforts are being developed based on evaluation data.

9. Evaluation plans are routinely used to test effectiveness of many different efforts, and the results are being used to make changes and improvements.

Dimension B. Community Knowledge of the Efforts Currently in Place to Prevent Sexual Violence.

1. Community has no knowledge of the need for efforts to prevent sexual violence.
2. Community has no knowledge about current efforts to prevent sexual violence.
3. A few members of the community have heard about efforts, but the extent of their knowledge is limited.
4. Some members of the community know about local efforts.
5. Members of the community have basic knowledge about local efforts (e.g., purpose).
6. An increasing number of community members have knowledge of local efforts and are trying to increase the knowledge of the general community about these efforts.
7. There is evidence that the community has specific knowledge of local efforts including contact persons, training of staff, clients involved, etc.
8. There is considerable community knowledge about different community efforts, as well as the level of program effectiveness.
9. Community has knowledge of program evaluation data on how well the different local efforts are working and their benefits and limitations.

Dimension C. Leadership (includes appointed leaders & influential community members)

1. Leadership has no recognition that sexual violence is preventable.
2. Leadership believes that sexual violence is not an issue in their community.

3. Leader(s) recognize(s) the need to do something to prevent sexual violence.
4. Leader(s) is/are trying to get something started.
5. Leaders are part of a committee or group that works to prevent sexual violence.
6. Leaders are active and supportive of the implementation of efforts.
7. Leaders are supportive of continuing basic efforts and are considering resources available for self-sufficiency.
8. Leaders are supportive of expanding/improving efforts through active participation in the expansion/improvement.
9. Leaders are continually reviewing evaluation results of the efforts and are modifying support accordingly.

Dimension D. Community Climate

1. The prevailing attitude is that it's "just not our concern."
2. The prevailing attitude is "There's nothing we can do," or "Only 'those' people do that," or "We don't think it should change."
3. Community climate is neutral, disinterested, or believes that sexual violence does not affect the community as a whole.
4. The attitude in the community is now beginning to reflect interest in preventing sexual violence. "We have to do something, but we don't know what to do."
5. The attitude in the community is "we are concerned about this," and community members are beginning to reflect modest support for sexual violence prevention efforts.
6. The attitude in the community is "This is our responsibility" and is now beginning to reflect

modest involvement in efforts to prevent sexual violence.

7. The majority of the community generally supports programs, activities, or policies. “We have taken responsibility.”

8. Some community members or groups may challenge specific programs, but the community in general is strongly supportive of the need for efforts. Participation level is high. “We need to keep up on this issue and make sure what we are doing is effective.”

9. All major segments of the community are highly supportive, and community members are actively involved in evaluating and improving efforts and demand accountability.

Dimension E. Community Knowledge about Sexual Violence

1. Not viewed as an issue.

2. No knowledge about the issue.

3. A few in the community have some knowledge about the issue.

4. Some community members recognize the signs and symptoms of this issue, but information is lacking.

5. Community members know that the signs and symptoms of this issue occur locally, and general information is available.

6. A majority of community members know the signs and symptoms of the issue and that it occurs locally, and local data are available.

7. Community members have knowledge of, and access to, detailed information about local prevalence.

8. Community members have knowledge about prevalence, causes, risk factors, and consequences.

9. Community members have detailed information about the issue as well as information about the effectiveness of local programs.

**Dimension F. Resources Related to Sexual Violence Prevention
(people, money, time, space, etc.)**

1. There is no awareness of the need for resources to prevent sexual violence.
2. There are no resources available to prevent sexual violence.
3. The community is not sure what it would take, (or where the resources would come from) to initiate efforts.
4. The community has individuals, organizations, and/or space available that could be used as resources.
5. Some members of the community are looking into the available resources.
6. Resources have been obtained and/or allocated to prevent sexual violence.
7. A considerable part of support of on-going efforts are from local sources that are expected to provide continuous support. Community members and leaders are beginning to look at continuing efforts by accessing additional resources.
8. Diversified resources and funds are secured and efforts are expected to be ongoing. There is additional support for further efforts.
9. There is continuous and secure support for programs and activities, evaluation is routinely expected and completed, and there are substantial resources for trying new efforts.

THIS IS THE END OF THE QUESTIONNAIRE

Attachment 4:
SAMPLE JOB DESCRIPTION FOR THE RPE PREVENTION COORDINATOR

The _____ seeks a Prevention Coordinator for Rape Prevention and Education for full time employment. The Prevention Coordinator will be responsible for coordinating the activities associated with a state funded Rape Prevention and Education project.

Salary range: \$ _____ depending on experience. Other benefits: _____

Qualifications:

Bachelor's degree in one of the following areas: education, sociology, anthropology, criminal justice, criminology, human services, social work, public health, counseling, communications, psychology or other related fields.

Bilingual speaker preferred in communities serving a significant number of people for whom English is the second language.

Required

- Good written and interpersonal communication skills
- Strong organizational skills
- Flexibility and the ability to adapt to project needs
- Independent, self-motivated worker
- Has own transportation (car) for use to carry out job tasks
- Commitment to primary prevention of sexual violence
- Ability to work effectively as a team member
- Flexibility and willingness to work some evenings and weekends as needed
- Openness to learning new concepts and approaches
- Good computer skills

Preferred

- Prior experience working in the field of sexual violence
- Basic understanding of public health principles
- Experience in community outreach/organizing/mobilization
- Experience in program planning and coordination
- Experience in training and presentations
- Experience in community assessment
- Experience with program evaluation

Activities:

- Coordinate a community needs and resource assessment
- Develop a plan to address sexual violence prevention in the community

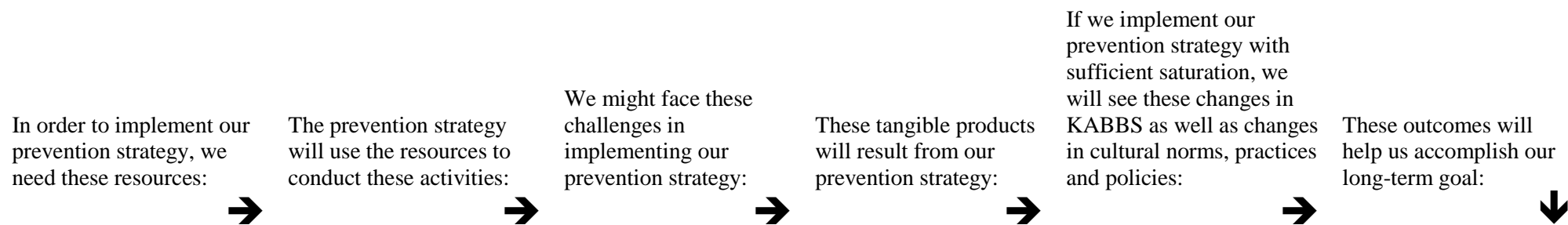
- Coordinate the implementation of sexual violence prevention strategies the evaluation of the sexual violence prevention strategies and other sexual violence prevention work
- Develop and nurture relationships with key individuals and organizations in the community
- Develop and oversee a community sexual violence prevention taskforce
- Maintain professional competency by attending trainings and accessing other mechanisms (e.g., technical assistance, online tutorials, reading articles etc.) for developing new knowledge and skills associated with sexual violence prevention
- Report regularly to agency supervisor
- Submit all required reports and other documentation in a timely and complete manner

Attachment 5: RAPE PREVENTION AND EDUCATION (RPE) PROGRAM LOGIC MODEL EXAMPLE

Name of Program: Smith County Rape Crisis Center

Name of Strategy: “Healthy Relationships at Smith Middle School”

Date:



Inputs (Number each input)	Activities (Number each activity of your prevention strategy)	Constraints (Number each constraint)	Outputs (Number each output)	Outcomes (Number each outcome)	Goal
Example: 1. <u>Staff</u> The Prevention Coordinator and 1 health educator 2. <u>Space</u> Classrooms at middle school 3. <u>Materials</u> 80 student packets with handouts	Example: 1. Provide 8 educational sessions to 7 th graders focusing on sexual violence myths, gender norms, and healthy communication, healthy relationships, and bystander skills.	Example: 1. “No Child Left Behind” policy is a barrier because teachers are so focused on academics and preparing kids for testing, so there is limited time available for additional programming.	Example: 1. Provide eight-one hour sessions to 80 7 th grade boys and girls. 2. Work with students to create 4 posters (print 40 posters) that reject sexual violence myths to be posted throughout the school.	Example: 1. Students demonstrate increased rejection of sexual violence myths. 2. Students demonstrate skills in healthy communication.	To reduce Sexual violence perpetration in our community.

X. APPENDIX A: FORMS FOR REFERENCE

Do **NOT** complete these documents at this time **nor return them** with the
RFA response.
They are for reference only.

FEDERAL CERTIFICATIONS

The undersigned states that:

- (a) He or she is the duly authorized representative of the Contractor named below;
- (b) He or she is authorized to make, and does hereby make, the following certifications on behalf of the Contractor, as set out herein:
 - a. The Certification Regarding Nondiscrimination;
 - b. The Certification Regarding Drug-Free Workplace Requirements;
 - c. The Certification Regarding Environmental Tobacco Smoke;
 - d. The Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; and
 - e. The Certification Regarding Lobbying;
- (c) He or she has completed the Certification Regarding Drug-Free Workplace Requirements by providing the addresses at which the contract work will be performed;
- (d) [Check the applicable statement]
 - ☐ He or she **has completed** the attached **Disclosure of Lobbying Activities** because the Contractor **has made, or has an agreement to make**, a payment to a lobbying entity for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action;
 - OR**
 - ☐ He or she **has not completed** the attached **Disclosure of Lobbying Activities** because the Contractor **has not made, and has no agreement to make**, any payment to any lobbying entity for influencing or attempting to influence any officer or employee of any agency, any Member of Congress, any officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action.
- (e) The Contractor shall require its subcontractors, if any, to make the same certifications and disclosure.

Signature

Title

Contractor [Organization's] Legal Name

Date

[This Certification must be signed by a representative of the Contractor who is authorized to sign contracts.]

I. Certification Regarding Nondiscrimination

The Contractor certifies that it will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits

discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (h) the Food Stamp Act and USDA policy, which prohibit discrimination on the basis of religion and political beliefs; and (i) the requirements of any other nondiscrimination statutes which may apply to this Agreement.

II. Certification Regarding Drug-Free Workplace Requirements

1. **The Contractor certifies** that it will provide a drug-free workplace by:
 - a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - b. Establishing a drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The Contractor's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - c. Making it a requirement that each employee be engaged in the performance of the agreement be given a copy of the statement required by paragraph (a);
 - d. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the agreement, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
 - e. **Notifying the Department within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;**
 - f. Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

- (1) taking appropriate personnel action against such an employee, up to and including termination; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and
- g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
2. The sites for the performance of work done in connection with the specific agreement are listed below (list all sites; add additional pages if necessary):

Street Address No.1:

City, State, Zip Code:

Street Address No.2:

City, State, Zip Code:

3. Contractor will inform the Department of any additional sites for performance of work under this agreement.
4. False certification or violation of the certification may be grounds for suspension of payment, suspension or termination of grants, or government-wide Federal suspension or debarment. 45 C.F.R. 82.510.

III. Certification Regarding Environmental Tobacco Smoke

Public Law 103-227, Part C-Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000.00 per day and/or the imposition of an administrative compliance order on the responsible entity.

The Contractor certifies that it will comply with the requirements of the Act. The Contractor further agrees that it will require the language of this certification be included in any subawards that contain provisions for children's services and that all subgrantees shall certify accordingly.

IV. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions

Instructions

[The phrase "prospective lower tier participant" means the Contractor.]

1. By signing and submitting this document, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of the fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originate may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant will provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549, 45 CFR Part 76. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter any lower tier covered transaction with a person who is debarred, suspended, determined ineligible or voluntarily excluded from participation in this covered transaction unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this document that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized in paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension, and/or debarment.

Certification

- a. **The prospective lower tier participant certifies**, by submission of this document, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- b. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

V. Certification Regarding Lobbying

The Contractor certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federally funded contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form SF-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award document for subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) who receive federal funds of \$100,000.00 or more and that all subrecipients shall certify and disclose accordingly.
4. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.

VI. Disclosure of Lobbying Activities

Instructions

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or sub-award recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (Item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal Identifying number available for the Federal action identified in Item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in Item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in Item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate boxes. Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate boxes. Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract</p> <p><input type="checkbox"/> b. grant</p> <p><input type="checkbox"/> c. cooperative agreement</p> <p><input type="checkbox"/> d. loan</p> <p><input type="checkbox"/> e. loan guarantee</p> <p><input type="checkbox"/> f. loan insurance</p>		<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. Bid/offer/application</p> <p><input type="checkbox"/> b. Initial Award</p> <p><input type="checkbox"/> c. Post-Award</p>		<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial filing</p> <p><input type="checkbox"/> b. material change</p> <p>For Material Change Only:</p> <p>Year _____ Quarter _____</p> <p>Date of Last Report: _____</p>	
<p>4. Name and Address of Reporting Entity:</p> <p><input type="checkbox"/> Prime</p> <p><input type="checkbox"/> Subawardee Tier _____, (if known)</p> <p>Congressional District (if known) _____</p>			<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District (if known) _____</p>		
<p>6. Federal Department/Agency:</p>			<p>7. Federal Program Name/Description:</p> <p>CFDA Number (if applicable) _____</p>		
<p>8. Federal Action Number (if known)</p>			<p>9. Award Amount (if known) :</p> <p>\$ _____</p>		
<p>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</p> <p>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>			<p>b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI):</p> <p>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>		
<p>11. Amount of Payment (check all that apply):</p> <p>\$ _____ actual _____ planned _____</p>			<p>13. Type of Payment (check all that apply):</p> <p><input type="checkbox"/> a. retainer</p> <p><input type="checkbox"/> b. one-time fee</p> <p><input type="checkbox"/> c. commission</p> <p><input type="checkbox"/> d. contingent fee</p> <p><input type="checkbox"/> e. deferred</p> <p><input type="checkbox"/> f. other; specify: _____</p>		
<p>12. Form of Payment (check all that apply):</p> <p><input type="checkbox"/> a. cash</p> <p><input type="checkbox"/> b. In-kind; specify: Nature _____ Value _____</p>					
<p>14. Brief Description of Services Performed or to be Performed and Date(s) of Services, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11(attach Continuation Sheet(s) SF-LLL-A, if necessary):</p>					
<p>15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No</p>					

<p>16. Information requested through this form is authorized by title 31 U. S. C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U. S. C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No: _____ Date: _____</p>	
<p>Federal Use Only</p>		<p>Authorized for Local Reproduction Standard Form - LLL</p>

<p>Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D. C. 20503</p>

LETTER TO IDENTIFY INDIVIDUALS TO SIGN CONTRACTS

Letter from Board President/Chairperson Identifying Individuals as Authorized to Sign Contracts

I, _____, Board President/Chairperson of
_____ [Agency/Organization's legal name]

hereby identify the following individual(s) who is (are) authorized to sign **Contracts** for the
organization named above:

Printed Name	Title
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

Reference only — Not for signature

Signature	* Title	Date
	<i>* Indicate if you are the Board President or Chairperson</i>	

LETTER TO IDENTIFY INDIVIDUALS TO SIGN EXPENDITURE REPORTS

**Letter from Board President/Chairperson
Identifying Individuals as Authorized to Sign
Contract Expenditure Reports**

I, _____, Board President/Chairperson of
_____ [Organization's legal name] hereby
identify the following individual(s) who is (are) authorized to sign **Contract Expenditure
Reports** for the organization/agency named above:

	<u>Printed Name</u>	<u>Title</u>	<u>Signature</u>
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____

Reference only — Not for signature

_____ Signature	_____ * Title	_____ Date
	* <i>Indicate if you are the Board President or Chairperson</i>	

NOTARIZED STATEMENT AND CONFLICT OF INTEREST POLICY

Notarization of Conflict of Interest Policy

State of North Carolina, County of _____
I, _____, Notary Public for said County and State, certify that
_____ personally appeared before me this day and
acknowledged that he/she is _____
[title]
of _____
[name of organization]
and by that authority duly given and as the act of the Organization, affirmed that the foregoing
Conflict of Interest Policy was adopted by the Board of Directors/Trustees or other governing
body in a meeting held on the ____ day of _____, _____.
Sworn to and subscribed before me this _____ day of _____, 20____.

Notary Signature and Seal

Notary's commission expires _____, 20 ____.

Instruction for the Organization:

Sign below and **attach the organization's Conflict of Interest Policy** which is referenced
above.

Reference only — Not for signature

Signature of above named Organization Official

Conflict of Interest Policy

The Board of Directors/Trustees or other governing persons, officers, employees or agents are to avoid any conflict of interest, even the appearance of a conflict of interest. The Organization's Board of Directors/Trustees or other governing body, officers, staff and agents are obligated to always act in the best interest of the organization. This obligation requires that any Board member or other governing person, officer, employee or agent, in the performance of Organization duties, seek only the furtherance of the Organization mission. At all times, Board members or other governing persons, officers, employees or agents, are prohibited from using their job title, the Organization's name or property, for private profit or benefit.

A. The Board members or other governing persons, officers, employees, or agents of the Organization should neither solicit nor accept gratuities, favors, or anything of monetary value from current or potential contractors/vendors, persons receiving benefits from the Organization or persons who may benefit from the actions of any Board member or other governing person, officer, employee or agent. This is not intended to preclude bona-fide Organization fund raising-activities.

B. A Board or other governing body member may, with the approval of Board or other governing body, receive honoraria for lectures and other such activities while not acting in any official capacity for the Organization. Officers may, with the approval of the Board or other governing body, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. Employees may, with the prior written approval of their supervisor, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. If a Board or other governing body member, officer, employee or agent is acting in any official capacity, honoraria received in connection with activities relating to the Organization are to be paid to the Organization.

C. No Board member or other governing person, officer, employee, or agent of the Organization shall participate in the selection, award, or administration of a purchase or contract with a vendor where, to his knowledge, any of the following has a financial interest in that purchase or contract:

1. The Board member or other governing person, officer, employee, or agent;
2. Any member of their family by whole or half blood, step or personal relationship or relative-in-law;
3. An organization in which any of the above is an officer, director, or employee;
4. A person or organization with whom any of the above individuals is negotiating or has any arrangement concerning prospective employment or contracts.

D. **Duty to Disclosure** — Any conflict of interest, potential conflict of interest, or the appearance of a conflict of interest is to be reported to the Board or other governing body or one's supervisor immediately.

E. **Board Action** — When a conflict of interest is relevant to a matter requiring action by the Board of Directors/Trustees or other governing body, the Board member or other governing person, officer, employee, or agent (person(s)) must disclose the existence of the conflict of interest and be given the opportunity to disclose all material facts to the Board and members of committees

with governing board delegated powers considering the possible conflict of interest. After disclosure of all material facts, and after any discussion with the person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

In addition, the person(s) shall not participate in the final deliberation or decision regarding the matter under consideration and shall leave the meeting during the discussion of and vote of the Board of Directors/Trustees or other governing body.

F. Violations of the Conflicts of Interest Policy — If the Board of Directors/Trustees or other governing body has reasonable cause to believe a member, officer, employee or agent has failed to disclose actual or possible conflicts of interest, it shall inform the person of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose. If, after hearing the person's response and after making further investigation as warranted by the circumstances, the Board of Directors/Trustees or other governing body determines the member, officer, employee or agent has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

G. Record of Conflict — The minutes of the governing board and all committees with board delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have an actual or possible conflict of interest, the nature of the conflict of interest, any action taken to determine whether a conflict of interest was present, and the governing board's or committee's decision as to whether a conflict of interest in fact existed.
2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement that presents a possible conflict of interest, the content of the discussion, including any alternatives to the transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Approved by:

Reference only — Not for signature

Legal Name of Organization

Signature of Organization Official

Title of Organization Official

Date

NO OVERDUE TAX DEBTS CERTIFICATION

State Grant Certification – No Overdue Tax Debts¹

To: State Agency Head and Chief Fiscal Officer

Certification:

We certify that the _____
[Organization's full legal name] does not have any overdue tax debts, as defined by **N.C.G.S. 105-243.1**, at the federal, State, or local level. We further understand that any person who makes a false statement in violation of **N.C.G.S. 143C-6-23(c)** is guilty of a criminal offense punishable as provided by **N.C.G.S. 143C-101(b)**.

Sworn Statement:

_____ [Name of Board Chair] and
_____ [Name of Second Authorizing Official] being
duly sworn, say that we are the Board Chair and
_____ [Title of Second Authorizing Official],
respectively, of _____
[Agency/Organization's full legal name] of _____ [City] in the State of
_____ [State]; and that the foregoing certification is true, accurate and
complete to the best of our knowledge and was made and subscribed by us. We also
acknowledge and understand that any misuse of State funds will be reported to the appropriate
authorities for further action.

Reference only — Not for
signature

Board Chair

Reference only — Not for
signature

Title

Date

Signature

Title of Second Authorizing Official

Date

Sworn to and subscribed before me this _____ day of _____, 20__.

Reference only — Not for signature

Notary Signature and Seal

Notary's commission expires _____, 20__.

¹ G.S. 105-243.1 defines: Overdue tax debt – Any part of a tax debt that remains unpaid 90 days or more after the notice of final assessment was mailed to the taxpayer. The term does not include a tax debt, however, if the taxpayer entered into an installment agreement for the tax debt under G.S. 105-237 within 90 days after the notice of final assessment was mailed and has not failed to make any payments due under the installment agreement."

CONTRACTOR CERTIFICATIONS

Contractor Certifications Required by North Carolina Law

Instructions

The person who signs this document should read the text of the statutes listed below and consult with counsel and other knowledgeable persons before signing.

- The text of Article 2 of Chapter 64 of the North Carolina General Statutes can be found online at:
http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/ByArticle/Chapter_64/Article_2.pdf
- The text of G.S. 105-164.8(b) can be found online at:
http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_105/GS_105-164.8.pdf
- The text of G.S. 143-48.5 (S.L. 2013-418, s. 2.(d)) can be found online at:
<http://www.ncga.state.nc.us/Sessions/2013/Bills/House/PDF/H786v6.pdf>
- The text of G.S. 143-59.1 can be found online at:
http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143/GS_143-59.1.pdf
- The text of G.S. 143-59.2 can be found online at:
http://www.ncga.state.nc.us/EnactedLegislation/Statutes/PDF/BySection/Chapter_143/GS_143-59.2.pdf
- The text of G.S. 147-33.95(g) (S.L. 2013-418, s. 2.(e)) can be found online at:
<http://www.ncga.state.nc.us/Sessions/2013/Bills/House/PDF/H786v6.pdf>

Certifications

- (1) **Pursuant to G.S. 143-48.5 and G.S. 147-33.95(g)**, the undersigned hereby certifies that the Contractor named below, and the Contractor's subcontractors, complies with the requirements of Article 2 of Chapter 64 of the NC General Statutes, including the requirement for each employer with more than 25 employees in North Carolina to verify the work authorization of its employees through the federal E-Verify system." E-Verify System Link: www.uscis.gov
- (2) **Pursuant to G.S. 143-59.1(b)**, the undersigned hereby certifies that the Contractor named below is not an "ineligible Contractor" as set forth in G.S. 143-59.1(a) because:
 - (a) Neither the Contractor nor any of its affiliates has refused to collect the use tax levied under Article 5 of Chapter 105 of the General Statutes on its sales delivered to North Carolina when the sales met one or more of the conditions of G.S. 105-164.8(b); **and**
 - (b) [check **one** of the following boxes]
 - ☐ Neither the Contractor nor any of its affiliates has incorporated or reincorporated in a "tax haven country" as set forth in G.S. 143-59.1(c)(2) after December 31, 2001; **or**
 - ☐ The Contractor or one of its affiliates **has** incorporated or reincorporated in a "tax haven country" as set forth in G.S. 143-59.1(c)(2) after December 31, 2001 **but** the United States is not the principal market for the public trading of the stock of the corporation incorporated in the tax haven country.
- (3) **Pursuant to G.S. 143-59.2(b)**, the undersigned hereby certifies that none of the Contractor's officers, directors, or owners (if the Contractor is an unincorporated business entity) has been convicted of any

violation of Chapter 78A of the General Statutes or the Securities Act of 1933 or the Securities Exchange Act of 1934 within 10 years immediately prior to the date of the bid solicitation.

(4) *The undersigned hereby certifies further that:*

(f) *He or she is a duly authorized representative of the Contractor named below;*

(g) *He or she is authorized to make, and does hereby make, the foregoing certifications on behalf of the Contractor; and*

(h) *He or she understands that any person who knowingly submits a false certification in response to the requirements of G.S. 143-59.1 and -59.2 shall be guilty of a Class I felony.*

Contractor's Name

Signature of Contractor's Authorized Agent

Date

Printed Name of Contractor's Authorized Agent

Title

Signature of Witness

Title

Printed Name of Witness

Date

The witness should be present when the Contractor's Authorized Agent signs this certification and should sign and date this document immediately thereafter.

FFATA Form

Federal Funding Accountability and Transparency Act (FFATA) Data Reporting Requirement NC DHHS, Division of Public Health Subawardee Information

A. Exemptions from Reporting

1. Entities are **exempted** from the entire FFATA reporting requirement if **any** of the following are true:
 - The entity has a gross income, from all sources, of less than \$300,000 in the previous tax year
 - The entity is an individual
 - If the required reporting would disclose classified information
2. Entities who are not exempted for the FFATA reporting requirement may be exempted from the requirement to provide executive compensation data. This executive compensation data is **required only if both** are true:
 - More than 80% of the entity's gross revenues are from the federal government **and** those revenues are more than \$25 million in the preceding fiscal year
 - Compensation information is not already available through reporting to the U.S. Securities and Exchange Commission.

By signing below, I state that the entity listed below is exempt from:

The entire FFATA reporting requirement:

- ☐ as the entity's gross income is less than \$300,000 in the previous tax year.
- ☐ as the entity is an individual.
- ☐ as the reporting would disclose classified information.

Only executive compensation data reporting:

- ☐ as at least one of the bulleted items in item number 2 above is not true.

Reference only — Not for signature

Signature _____ Name _____ Title _____

Entity _____ Date _____

B. Reporting

1. **FFATA Data** required by all entities which receive federal funding (except those exempted above) per the reporting requirements of the *Federal Funding Accountability and Transparency Act (FFATA)*.

Entity's Legal Name _____ Contract Number _____

☐ Active SAM registration record is attached

An active registration with SAM is required

Entity's DUNS Number _____

Entity's Parent's DUNS Nbr
(if applicable) _____

Entity's Location

street address _____

city/st/zip+4 _____

county _____

Primary Place of Performance for specified contract

Check here if address is the **same** as Entity's Location ☐

street address _____

city/st/zip+4 _____

county _____

2. **Executive Compensation Data** for the entity's five most highly compensated officers (unless exempted above):

Title	Name	Total Compensation
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

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